Youth Recruitment for Tobacco Control Law Enforcement Activities

Request for Application TCS 04-102

March 17, 2004

Department of Health Services
Tobacco Control Section
Suite 74.516, MS 7206
P.O. Box 997413
Sacramento, CA 95899-7413
http://www.dhs.ca.gov/tobacco
(916) 449-5500

State of California—Health and Human Services Agency

Department of Health Services

California Department of Health Services

ARNOLD SCHWARZENEGGER
Governor

March 17, 2004

TO: PROSPECTIVE APPLICANTS

SUBJECT: REQUEST FOR APPLICATION (RFA) TCS 04-102

Enclosed is RFA TCS 04-102 entitled "Youth Recruitment for Tobacco Control Law Enforcement Activities". The purpose of this RFA is to solicit applications from community-based non-profit organizations that will conduct youth recruitment activities related to the enforcement of illegal tobacco sales to minors. Youth volunteers will be recruited for participation in tobacco sales to minors compliance checks conducted for enforcement and scientific survey purposes. The California Department of Health Services, Tobacco Control Section (CDHS/TCS) will fund two projects to recruit youth in Northern and Southern California.

The RFA specifies eligibility, submission requirements, and tentative timelines. Please read the RFA carefully, as this is an open competitive process and applications must comply with all instructions to be reviewed. **Applications are due to CDHS/TCS on April 14, 2004, no later than 5 p.m.**

The complete RFA and all required forms are also available on the CDHS/TCS website: http://www.dhs.ca.gov/tobacco. In addition, the policy section of the *CDHS/TCS Competitive Grantees Administrative and Policy Manual* is available on the website to assist potential applicants in preparing their application(s).

If your organization is eligible and interested in applying for funds, it would be beneficial to attend the scheduled information teleconference on March 26, 2004. Please have a copy of the RFA handy during the teleconference. Answers to questions about the RFA will be provided only during this teleconference. Phone calls for programmatic technical assistance in preparing the application **will not** be accepted.

INFORMATION Teleconference:
March 26, 2004
10:00 a.m. - 12:00 p.m.
Dial (916) 556-1508 and enter the passcode 1234

Cancer Control Branch, 1616 Capitol Avenue, Suite 74.516, P.O. Box 997413, MS 7202, Sacramento, CA 95899-7413
(916) 449-5353
Internet Address: www.dhs.ca.gov

If anyone attending the information teleconference requires special accommodations for the hearing impaired, please contact Tami Lizarraga, Administrative and Contract Support Unit, TCS, at (916) 449-5463 by March 24, 2004. Thank you for your interest in Tobacco Control.

Sincerely,

Dileep G. Bal, M.D., Chief
Cancer Control Branch

Enclosure

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I. INTRODUCTION

A. Purpose

The California Department of Health Services, Tobacco Control Section (CDHS/TCS) is seeking applications to fund two projects over a three-year period to conduct county level youth recruitment in two regions of the state (north and south) for participation in tobacco sales to minors compliance checks conducted for enforcement and scientific survey purposes. Successful applicants will recruit youth volunteers to participate in Stop Tobacco Access to Kids Enforcement (STAKE) Act compliance checks conducted by the CDHS Food and Drug Branch (CDHS/FDB), as well as the annual statewide youth tobacco purchase survey. Please refer to Appendix A for the number of youth to be recruited in each county. More detail about the requirements for conducting youth recruitment can be found in Section IV of this RFA.

B. Background on Proposition (Prop) 99 Funding

In November 1988, California voters approved the passage of the Tobacco Tax and Health Protection Act of 1988, also known as Prop 99. This referendum increased the state cigarette tax by 25 cents per pack and added an equivalent amount on other tobacco products. The new revenues were earmarked for programs to reduce smoking, to provide health care services to indigents, to support tobacco-related research, and to fund resource programs for the environment. The money is deposited by using the following formula: 20 percent is deposited in the Health Education Account (HEA); 35 percent in the Hospital Services Account; 10 percent in the Physician Services Account; 5 percent in the Research Account; 5 percent in the Public Resources Account; and 25 percent in the Unallocated Account (Revenue and Taxation Code 30124).

The HEA funds both community and school-based health education programs to prevent and reduce tobacco use and is jointly administered by CDHS/TCS and the California Department of Education (CDE). Currently, CDHS/TCS receives approximately two-thirds of the funding and CDE receives approximately one-third of the funding available in HEA. CDHS/TCS is responsible for supporting a statewide Tobacco Control Program (TCP), one of the largest and most successful public health interventions of its kind ever initiated, nationally or internationally. CDHS/TCS provides funding for 61 Local Lead Agencies (LLAs), competitively selected community-based organizations, a statewide media campaign, and an extensive evaluation of the entire TCP. CDE administers school-based funding to grades four through eight based on an allocation method and to high schools through a competitive grant program.

The enabling legislation for Prop 99 includes Assembly Bill (AB) 75 (Chapter 1331, Statutes of 1989), AB 99 (Chapter 278, Statutes of 1991), AB 816 (Chapter 195, Statutes of 1994), AB 3487 (Chapter 199, Statutes of 1996), Senate Bill (SB) 99 (Chapter 1170, Statutes of 1991), SB 960 (Chapter 1328, Statutes of 1989), SB 493 (Chapter 194, Statutes of 1995); the annual State Budget; Health and Safety (H&S) Code, Sections 104350-104480, 104500-104545; and the Revenue and Taxation Code, Sections 30121-30130. The enabling legislation, the various codes, and the annual State Budget, provide legislative and funding authority for programs administered by CDHS/TCS to:

- Conduct health education interventions and behavior change programs at the state level, in the community, and other non-school settings.
- Apply the most current research and findings.
- Give priority to programs that demonstrate an understanding of the role community norm change has in influencing behavioral change regarding tobacco use.

C. **California's TCP**

The scope of the health education campaign launched by CDHS/TCS is addressed in H&S Code, Part 3, Chapter 1, commencing with Section 104350. These statutes authorize CDHS/TCS to fund a variety of innovative approaches to reduce tobacco use. These approaches include funding for local health departments, competitively selected community agencies, a statewide media campaign, and an extensive evaluation of the entire TCP.

Local Programs

Local programs consist of three major efforts. These are described below.

- Local Health Departments: All of California's 58 county and three city health departments are funded as "LLAs". Considered the lead tobacco control agency at the local level, each LLA is funded to implement comprehensive tobacco control programs in their area. LLAs involve community coalitions in developing strategic community actions to combat tobacco use in their jurisdictions and conduct a wide range of education, information, policy, prevention, and cessation activities.

- Community-Based Grants: Approximately 56 community-based agencies are currently funded to implement programs designed to reach local ethnic populations, youth in the community, or other specified groups. Many others focus on topic areas, such as chew/dip, cigars, tobacco sponsorship, or tobacco advertising. Innovative strategies are used to reach their respective target populations and to address their specific issues.

- Statewide Grants: CDHS/TCS funds several statewide grants, which are defined as CDHS/TCS-funded projects designed to provide technical assistance and/or services on a statewide basis. Statewide grants offering assistance to CDHS/TCS-funded projects are: the Tobacco Education Clearinghouse of

California (TECC), California Smokers' Helpline, Technical Assistance Legal Center (TALC), The Center for Tobacco Policy and Organizing (The Center), California Youth Advocacy Network (CYAN), Council for Responsible Public Investment (CRPI), The California Smoke-free Bars, Workplaces and Communities Program (BREATH), the four Ethnic-Specific Tobacco Education Networks, and the State Building and Construction Trades Program (BUILT). The contracts for the ethnic networks, TALC, BUILT, and The Center end on June 30, 2004. New competitive RFAs to continue services were released this spring for work beginning July 1, 2004.

Statewide Media Campaign

The statewide media campaign consists of both advertising and public relations campaigns, including linguistically and culturally relevant ethnic-specific campaigns. The statewide media campaign utilizes hard-hitting paid advertising and public service announcements (television, radio, billboards, transit, and print) with thought provoking messages to effectively communicate the dangers of tobacco use, secondhand smoke (SHS), and the tobacco industry's manipulative marketing ploys, throughout California's general population and its ethnically diverse communities. The public relations portion of the statewide media campaign includes communications planning and implementation, media relations and advocacy, technical assistance to local programs, grassroots coalition building, promotional event development, news conference coordination, media alerts and press releases, and branding and image development.

Data Analysis and Evaluation

This component of the tobacco control effort tracks adult tobacco use prevalence, attitudes, and behaviors by conducting year-round telephone surveys. Youth tobacco use prevalence, attitudes and behaviors are collected from a biennial in-school survey. These surveys also provide information about public opinion and knowledge related to tobacco use, which enables the other tobacco control components to more appropriately target their education and media outreach. Additionally, both in-house and independent evaluations of all tobacco control components are conducted to monitor progress toward reaching program goals and objectives, and to determine which strategies are most effective in reducing tobacco use. Epidemiological studies that identify adult tobacco use behavior, knowledge, and attitudes among special populations in California are also included in this component and include the following: military, Asian Indian, Korean, Chinese, and Lesbian, Gay, Bisexual and Transgender populations.

D. **TCS Priorities: Reduce Availability of Tobacco Products**

TCS has four broad program priorities: 1) Counter pro-tobacco influences in the community; 2) reduce exposure to SHS and increase the number of smoke-free public spaces, worksites, schools, and communities; 3) reduce availability of tobacco products; and 4) promote availability of cessation services. Contractors funded under this RFA will provide services solely within the Reduce Availability of Tobacco Products program priority.

Almost all adult tobacco users report that they began smoking in their teens before they were of legal age to purchase tobacco. In fact, tobacco uptake follows a predictable pattern that begins with experimentation by preteens, progressing to intermittent use around 13 to 14 years old, then regular use at 15 to 16 years old, to becoming an addicted smoker around 16 to 18 years of age. According to the 2002 California Tobacco Survey, less than five percent of experimenters report that their usual source of cigarettes is through purchasing it themselves; however, over 34 percent of established daily teen smokers reported purchasing cigarettes as their usual source of cigarettes. Younger youth frequently obtain cigarettes from older youth who successfully buy cigarettes illegally. Eliminating tobacco sales to teens will help interrupt and break the chain of progressive addiction, in which a youth progresses from experimenting with tobacco to becoming an addicted smoker.

The California experience shows that the combination of enforcing laws that restrict tobacco sales to minors, educating merchants about the penalties for violating the STAKE Act and Penal Code (PC) Section 308(a), and frequent, unannounced retailer compliance checks can reduce illegal sales of tobacco products to minors. Overall, California has seen a significant drop in the rate of illegal tobacco sales, down from 52.1 percent in 1994 to 12.2 percent in 2003. Despite this drop, more work remains to be done. Certain types of stores continue to sell tobacco at high rates. In 2003, deli, meat, and produce markets sold to minors 26.7 percent of the time, while pharmacies, donut shops, and discount “dollar” stores sold tobacco to minors 19.9 percent of the time. Local communities frequently report higher rates.

Furthermore, tobacco retailers are required to post STAKE Act age-of-sale warning signs at each point of sale. A 2003 study showed that stores with STAKE Act signage sold tobacco to minors 8.1 percent of the time, while stores without STAKE Act signage sold 17.4 percent of the time. Continued monitoring of STAKE Act signage remains an important activity, as nearly half of California’s retailers (49.2 percent) do not have the STAKE Act warning signs posted *(2003 Youth Tobacco Purchase Survey* [YTPS]*).*

In June 2003, Governor Davis issued Executive Order D-68-03 to: 1) promote more collaboration between state agencies; 2) increase retailer inspections; 3) increase the presence of STAKE Act signage; 4) increase enforcement; and, 5) increase penalties to retailers who do not post STAKE Act signs and sell tobacco to minors. Efforts are underway to fully implement this Order.

In October 2003, Governor Davis also signed into law AB 71, the California Cigarette and Tobacco Products Licensing Act of 2003 (Business and Professions [B&P] Code Sections 22970-22995) which requires all tobacco retailers, wholesalers, distributors, manufacturers, and importers to be licensed in California. The primary purpose of the licensing Act is to reduce the amount of excise and sales taxes lost to counterfeit and smuggled cigarettes. It also contains provisions that address the illegal sales of tobacco to minors, however, those provisions only go into effect when the statewide YTPS rate is 13 percent or higher. The licensing program sunsets in 2010 and is not preemptive.

Local tobacco control programs work to further reduce the availability of tobacco products through stronger local policies. Many local tobacco control programs are passing their own retail licensing policies, conditional use permits, and other restrictions to limit the location and number of retailers who sell tobacco in a specific jurisdiction.

CDHS/TCS leads the nation in reducing tobacco use by youth and adults. When Prop 99 became law in 1988, the California adult smoking rate was 22.8 percent. This figure has since dropped to 16.6 percent in 2002, while the national median rate measured at 23.1 percent. Additionally, high school youth smoking rates have significantly declined from 21.6 percent in 2000 to 16.0 percent in 2002.

While school, community, and media education programs such as those available in California help deter tobacco use by minors, their effectiveness is seriously undermined when youth can easily purchase tobacco products from local businesses, purchase them illegally on the Internet, or obtain them from friends and family members.

E. **The STAKE Act**

The STAKE Act (B&P Code 22950-22963) was enacted by the California Legislature in September 1994 (Chapter 1009, Statutes of 1994) to comply with Section 1926 of the federal Public Health Services Act of 1992, commonly referred to as the "Synar Amendment". The Synar Amendment requires all states to enact and enforce laws prohibiting the sale of tobacco products to minors and mandates that each state maintain an illegal tobacco sales to minors rate no higher than 20 percent. States that fail to maintain a 20 percent illegal sales rate risk losing up to 40 percent of federal Substance Abuse Prevention and Treatment Block Grant funds, equal to over $100 million for California.

Efforts to prevent youth access to tobacco, such as STAKE Act and PC Section 308(a) enforcement, must continue at a level that maintains California's compliance with the Synar Amendment. Additionally, California's overarching goal echo's that of the national Centers for Disease Control's "Healthy People 2010" objective, which seeks to reduce illegal tobacco sales to minors to no more than five percent.

The STAKE Act authorizes CDHS/FDB to conduct random retail inspections to determine compliance with state law prohibiting the sale of tobacco products to minors. Inspections are a law enforcement activity conducted by CDHS/FDB in which a minor, age 15 or 16, attempts to purchase a tobacco product under the direct supervision of an CDHS/FDB officer. If a tobacco product is sold to the minor, the owner of the business may be subjected to penalties ranging from $200-$300 for the first offense and up to $5,000-$6,000 for the fifth offense within five years. CDHS/FDB began conducting compliance checks in December 1995.

Under the Synar Amendment and its implementation regulations, CDHS/TCS is required to conduct an annual scientific YTPS separate from CDHS/FDB enforcement activities to determine the statewide rate of illegal tobacco sales to minors. Information from this survey and a summary of enforcement efforts must be provided annually to the federal Substance Abuse and Mental Health Services Administration. The 2003 YTPS found that 12.2 percent of retailers in California were willing to sell tobacco to youth.

CDHS/TCS contracts with the San Diego State University Foundation Behavioral Health Institute (BHI) to conduct the YTPS and maintain a youth volunteer data-base management system. Successful applicants to this RFA will be required to maintain consistent and close contact with BHI. Maintenance of the statewide database is dependent upon receipt of youth recruitment information on a weekly basis. The successful applicants will be required to transfer youth volunteer data electronically and through overnight mail to BHI. It is anticipated that BHI will continue in this capacity throughout the 2007 contract term.

F. **RFA Contract Requirements**

STAKE Act inspections are planned throughout the year and are conducted in every county in the state at least once every two years. Inspections are confidential, therefore scheduling information is not distributed in advance. CDHS/FDB investigators will work closely with the successful applicants regarding timing of investigations to communicate their need for youth participants in specific areas of the state.

Youth are also needed for CDHS/FDB inspections at times when other CDHS/TCS funded projects are conducting large-scale youth-led activities, such as a youth summit. Therefore, recruitment agencies must be prepared to recruit youth above and beyond those currently engaged in tobacco control advocacy activities and be prepared to have youth available during the times of the year when youth are subjected to many competing interests, e.g., sports, proms, and other after school activities.

Youth recruitment for large geographical areas can be complicated and sometimes difficult: youth may not be interested in participating; some youth choose to discontinue participation once their initial enforcement activity is completed; recruitment numbers diminish when youth turn 17 years old (the age at which youth can no longer participate in STAKE Act compliance checks); youth may have competing social, athletic, and school priorities; parents may have concerns about children participating in undercover activities; and, there may be a significant time lag between when youth originally agree to participate and when youth are actually contacted for field work.

Strategic recruitment techniques are necessary to increase the success of recruitment efforts. Some strategies that might be particularly effective include: searching out and networking with CDHS/TCS funded agencies, especially those with an active youth component; collaborating consistently with youth serving organizations; advertising in school newspapers; conducting outreach to school clubs or programs that may have youth interested in law enforcement careers (e.g., Reserve Officer Training Corps [ROTC], or Regional Occupation Programs [ROP]); distributing promotional materials (such as brochures, flyers, or videos) to generate interest; providing an incentive program to encourage peer recruitment; conducting presentations to various youth groups; organizing school assembly presentations; offering school credit for community service work; holding promotional events that will attract youth recruits; and, providing letters of recommendation for future employment, scholarships, and college applications.

Recruitment agencies must also be aware that youth recruitment is an on-going process, and not simply a one-time recruitment effort that results in one static group of youth. A critical need exists to ethnically match youth to the communities in which the inspections occur. In addition, youth who turn 17 years of age can no longer participate by law in STAKE Act related inspections or surveying activities and are to be removed from the availability lists.

The total number of youth recruits needed is detailed in Appendix A. It is essential to note that this chart indicates greater numbers in certain geographical areas. For example, larger numbers of youth will be needed in the San Francisco Bay Area Counties than will be needed in Mariposa and Tuolumne Counties. CDHS/FDB generally does not transport youth from one county to another to maximize youth participation and keep travel time to a minimum. Therefore, it is not realistic to recruit an excessive number of youth in one county and none in another.

II. GENERAL GRANT APPLICATION INFORMATION

A. **Who May Apply**

1. California public or private non-profit organizations are eligible to apply for these funds. For applicants claiming private non-profit status, **either** certification from the State of California, Office of Secretary of State, **or** a letter from the Department of the Treasury, Internal Revenue Service (IRS), classifying the applicant administrative agency as a private non-profit **MUST BE INCLUDED** with the submission of the application. The certification application and a sample letter are provided in Appendix C.

2. As referenced in H&S Code Section 104440 "LLAs shall be ineligible for awards under the competitive grants program, unless the LLA is a participant within a consortium of community-based organizations or nonprofit organizations." A consortium application must be composed of two or more organizations.

3. State of California agencies, other than state universities and colleges, are not eligible for these funds.

4. Any agency, with the exception of universities and colleges, that receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, during the term of the grant, is not eligible for funding under this RFA. Agency certification to this effect is required on Attachment 8. See Appendix D for a partial list of tobacco company subsidiaries.

   With regard to universities and colleges, any Principal Investigator who within the last five years from the start date of the grant period, or during the term of the grant, receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, is not eligible for funding under this RFA. The Principal Investigator's certification is required on the Non Acceptance of Tobacco Funds form, Attachment 8. See Appendix D for a partial list of tobacco company subsidiaries.

B. **Grant Period and Funding Levels**

1. Approximately $1,100,000 from fiscal years (FY) 2004-05 and subsequent FYs is estimated to be available for this RFA. Funding for this RFA is dependent upon available revenues collected in the Cigarette and Tobacco Surtax Fund and funds transferred from Department of Alcohol and Drug Programs (DADP) for the STAKE program and is contingent upon appropriation and the use of multi-year spending authority. CDHS/TCS will have the option of renewing the grant for an additional two years if funds are available and the grantee has performed to satisfaction of CDHS/TCS.

2. CDHS/TCS will fund two grants to conduct youth recruitment in either Southern California or Northern California (Northern California also includes the central part of the state). Awards are estimated to range from $125,000 - $230,000 annually for the entire grant period beginning July 1, 2004 and ending June 30, 2007. **Applications must be for the entire 36-month period.**

3. CDHS/TCS reserves the right to fund any or none of the applications submitted in response to this RFA. CDHS/TCS may also waive any immaterial deviation in any application. CDHS/TCS waiver of any immaterial deviation(s) shall not excuse an application from full compliance with the contract terms if a contract is awarded. There is no guarantee that scoring above 75 will result in funding or funding at the level requested.

4. CDHS/TCS reserves the right to withdraw any award if an acceptable Scope of Work (SOW), Budget, Budget Justification, and other CDHS/TCS required forms are not received by CDHS/TCS within 45 calendar days of being negotiated by CDHS/TCS and the awardee.

5. Expenses associated with preparing and submitting an application are solely the responsibility of the applicant agency and will not be reimbursed by CDHS/TCS.

6. CDHS/TCS reserves the right to withdraw any award or negotiate the SOW of any proposed projects or proposed project components.

7. The awardee certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this grant for the acquisition, operation, or maintenance of computer software in violation of copyright laws.

8. CDHS/TCS will send to each awardee, along with the official award notification, a copy of the grant language. Changes to this language will not be negotiated at any time during the negotiation process.

C. **Application Submission Requirements**

1. **Letter of Intent**

   For the purpose of planning the RFA review process, all prospective applicants must submit a letter notifying CDHS/TCS of the intent to submit an application. This letter is not binding and those submitting a letter may elect not to submit an application. **One (1) signed letter of intent is due in the CDHS/TCS office no later than 5 p.m. on April 2, 2004.** The letter of intent must be submitted on the applicant's letterhead, signed by an officer of the board or their agent, and state the following: the name and number of the RFA, the estimated budget request, and the area of the state to be served. <u>E-Mail documents will not be accepted</u>. Mail or fax the letter of intent to:

ATTN: Beverly Henslee
California Department of Health Services
Tobacco Control Section
P.O. Box 997413, MS 7206, Suite 74.516
Sacramento, CA 95899-7413
FAX (916) 449-5517

Clearly indicate on the outside of the mailing envelope or Fax transmittal sheet "Youth Recruitment for Tobacco Control Law Enforcement Activities, RFA TCS 04-102".

2. **Application**

NOTE: All applicants agree in submitting an application, that CDHS/TCS is authorized to verify any and all claimed information. All applications received by CDHS/TCS are subject to the provisions of the "California Public Record Act" (Government Code Section 6250 <u>et seq</u>.) and are not considered confidential after completion of the selection process.

Submit one signed original (clearly marked "original") and seven (7) copies of the entire application (refer to Section IV, Application Requirements and Instructions). **Clearly indicate "Youth Recruitment for Tobacco Control Law Enforcement Activities, RFA TCS 04-102" on the outside of the mailing envelope.**

Applications are due in the CDHS/TCS office no later than 5 p.m., April 14, 2004.

- Fax and E-mail documents will **not** be accepted. It is the sole responsibility of the applicant to ensure that CDHS/TCS receives the required number of copies of the application by the above deadline.
- A late or an incomplete application will be considered non-responsive and will not be reviewed for funding.
- No changes, modifications, corrections, or additions may be made to the application once it is received.

Mail or deliver completed applications to CDHS/TCS:

Regular mail (U.S. Postal Service):	**For hand or overnight delivery (UPS or FedEx):**
Attention: Marj Rogers Department of Health Services Tobacco Control Section P.O. Box 997413, MS 7206, Suite 74.516 Sacramento, CA 95899-7413	Attention: Marj Rogers Department of Health Services Tobacco Control Section 1616 Capitol Avenue, MS 7206, Suite 74.516 Sacramento, CA 95814

CDHS/TCS Phone Number:
(916) 449-5500
See www.dhs.ca.gov/tobacco for directions to TCS

3. **RFA Information Teleconference**

An RFA information teleconference is scheduled for the purpose of answering questions related to the RFA requirements. Technical assistance regarding programmatic content will not be provided.

Date: **March 26, 2004**
Time: **10:00 a.m. to 12:00 p.m.**
Bridgeline: **(916) 556-1508**
Passcode: **1234**

D. **Application Review Process**

1. **Review for Compliance with Mandatory RFA Requirements**

Applications will be date and time stamped upon receipt at CDHS/TCS. Each application received at CDHS/TCS by **5:00 p.m. on April 14, 2004**, will be reviewed for compliance with all requirements provided in this document. Applications that do not comply with the requirements will be considered non-responsive and will be excluded from the review. Omission of any required document or form, failure to use required formats for response, or failure to respond to any requirement may lead to rejecting of the application prior to the review. CDHS/TCS may waive any immaterial deviation in any application; however, this waiver shall not excuse an application from full compliance with the contract terms if a contract is awarded. **LATE, INCOMPLETE, OR NON-COMPLIANT APPLICATIONS WILL BE REJECTED.**

2. **Application Review**

Each application that complies with the mandatory requirements will be evaluated and scored by a review committee on a scale of 0 to 100 points. The review committee may include representatives from CDHS/TCS contractors, DADP, and CDHS/FDB.

Applications receiving a score of 75 points or more will be considered for funding; however, due to potential funding limitations, there is no guarantee that scoring 75 or above will result in funding or funding at the level requested.

The maximum point value of each section is as follows:

Narrative	20 points
Coordination	10 points
Applicant Capability	25 points
SOW & Evaluation	25 points
Budget and Budget Justification	20 points
	100 points

3. **Notification of Decision**

Each applicant, whether selected for funding or denied, will be notified in writing of the funding decision. Applicants may receive, upon written request to CDHS/TCS, their consensus review tool summary page which provides the score and overall strengths and weaknesses of their application.

4. **Contract Negotiation**

Following the award notification, contract negotiations will occur with the potential contractor in a timely manner. Negotiation meetings are scheduled to take place on May 6, 2004. Awardees will be notified of the exact time and location and are expected to attend.

CDHS/TCS reserves the right to reject any proposed project(s) or project component(s). Following contract negotiations, the contractor is required to submit a detailed SOW, Budget, and Budget Justification in accordance with CDHS/TCS requirements, which will become part of the formal grant. Upon completion and approval of these documents, the grant will be fully executed and work will commence.

E. **Appeals Process**

Only those agencies that submit an application consistent with the requirements of this RFA and are not funded may appeal. There is NO appeal process for applications that are submitted late or that are submitted incomplete. Applicants may not appeal based on their funding level. Appeal letters based on the final application selection must be received **no later than 5 p.m. on April 29, 2004 at the address indicated below.** E-mail transmitted documents WILL NOT BE ACCEPTED. Appeals shall be limited to the grounds that CDHS/TCS failed to correctly apply the standards for reviewing your agency's application in accordance with this RFA.

The appellant must file a written appeal, which includes the issue(s) in dispute, the legal authority or other basis for the appellant's position, and the remedy sought. Incomplete appeals will be rejected. Appeals must be mailed or faxed to:

Donald O. Lyman, M.D., Chief or Designee
Department of Health Services
Division of Chronic Disease and Injury Control
P. O. Box 997413, MS 7200, Suite 74.660
Sacramento, CA 95899-7413
Fax number: (916) 449-5707

At his sole discretion, the Chief of Division of Chronic Disease and Injury Control (CDIC) or his designee, may hold an appeal hearing with each appellant and then come to a decision. That decision can be based on either the combination of the written appeal letter and the evidence presented at the hearing, or based on the written appeal letter if no hearing is conducted. The decision of the Chief of CDIC or his designee shall be final. There is no further administrative appeal. Appellants will be notified of decisions regarding their appeal in writing within fifteen (15) working days of their hearing date or the consideration of the written appeal letter, if no hearing is conducted.

F. **Tentative Timeline**

March 17, 2004	Release of RFA
March 26, 2004	Information Teleconference 10 a.m. – 12 p.m.
April 2, 2004	**Letters of Intent due to CDHS/TCS no later than 5 p.m.**
April 14, 2004	**Applications due to CDHS/TCS no later than 5 p.m.**
April 22, 2004	Award decisions announced
April 29, 2004	Appeals due to CDHS/TCS no later than 5 p.m.
April 30, 2004	Appeal Hearings
May 3, 2004	Appeal Decisions Announced
May 6, 2004	**Contract Negotiations Meetings**
July 1, 2004	Contract period begins
June 30, 2007	Contract period ends

III. ADMINISTRATIVE AND PROGRAM EXPECTATIONS

Agencies applying for these funds must have the administrative ability to manage state grant funds and the technical expertise to successfully implement the proposed project activities. It is the experience of CDHS/TCS that some applicants are unfamiliar with state procedures, requirements, and expectations. The following information is provided in order that the prospective applicants might assess their ability to enter into a binding grant agreement with CDHS/TCS.

1. Grantees (funded agencies) are to expend funds in accordance with the negotiated line item budget. If changes in line items, salary ranges, or staffing patterns need to be made, the grantee must request a budget revision or a grant amendment depending on what in the budget needs to be changed. It is up to the discretion of CDHS/TCS whether or not to approve the requested budget revision or grant amendment.

2. Grantees are reimbursed in arrears for actual expenses, which means the agency or individual incurs expenses and is then reimbursed by CDHS/TCS. The grantee submits a monthly invoice for expenses incurred in the previous 30 days and then the State has up to 30 days to pay certified small businesses and up to 45 days to pay others. This means that the grantee must be able to cover at least 45 to 60 days worth of project payroll, indirect, and operating expenses prior to reimbursement by the State. Additionally, grantees are to submit invoices to CDHS/TCS in a timely manner to ensure: 1) prompt payment of expenses, and 2) cash flow maintenance.

3. Grantees are expected to contact CDHS/TCS if they are having difficulties implementing the SOW or need to make changes in the approved activities. The agency must be aware that it is legally bound to deliver the services as stated in the SOW. This includes serving the number of people identified, conducting the stated number of activities, developing the identified educational materials, etc. If changes need to be made in the SOW, the grantee must contact CDHS/TCS to discuss the issue and request a SOW revision or contract amendment. It is up to the discretion of CDHS/TCS whether or not to approve the request. **If grant deliverables, including Progress Reports, are not completed satisfactorily, CDHS/TCS has the authority to withhold and/or recover payment of funds.**

4. Grantees are expected to refer to and comply with the Competitive Grantees Administrative and Policy Manual. This manual is referenced in the contract and, as such, is a contract document. The manual will be made available to successful applicants.

5. Grantees are to be knowledgeable of standard payroll practices including State and Federal tax withholding requirements.

6. Grantees are to maintain accounting records that reflect actual expenditures including, but not limited to: accounting books, ledgers, documents; payroll records, including signed timesheets, etc., following standard accounting procedures and practices that properly reflect all direct and indirect expenses related to this grant. These records shall be kept and made available for three (3) years from the date of the final grant payment.

7. Grantees are to obtain an annual single organization-wide financial and compliance audit. CDHS/TCS will reimburse the grantee for its proportionate share of the audit expense.

8. Grantees are required to obtain prior approval from CDHS/TCS before they are reimbursed for any purchase order, subcontract, or consultant agreement costing $5,000 or more. Three (3) competitive bids are required as well as other documentation of the bid process. This information along with the proposed subcontract or consultant agreement must be submitted to CDHS/TCS for approval prior to reimbursement of such expenses.

9. Grantees are to have a procedure designating a person within their agency or organization that may sign payroll time sheets, requisitions, and invoices.

10. Grantees are to maintain accurate records regarding program implementation that document the number of people served, materials developed, activities conducted, etc. It is expected that these documentation records may include, but will not be limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc. It is recommended that the grantee set up documentation files by objective or major activities. Planning minutes, media outreach, and sign-in sheets, etc., should be filed in the objective-specific file as activities are completed.

11. Grantees are to have sufficient personnel to submit to CDHS/TCS timely, accurate, and complete progress reports every six (6) months using the forms and format provided by CDHS/TCS.

12. Grantees are to have adequate personnel to insure timely submission of accurate invoices and maintain the fiscal integrity of the grant.

13. Grantees and all subcontractors should be aware that the State shall be the owner of all rights, title, and interest in, but not limited to, the copyright to any and all Works created, produced, or developed under a grant funded from this RFA, whether published or unpublished. Appendix E contains the specific language that will be incorporated into the boilerplate language of the grant funded by CDHS/TCS. If successful in your RFA, you must comply with the copyright and ownership of materials language. Review Appendix E carefully. Changes to this language will **not** be negotiated at any time during the RFA process nor with the funded applicant.

14. Grantees are to be aware that travel and per diem rates must not exceed those amounts paid to State non-represented employees. Additionally, out-of-state travel is not reimbursable without prior written approval by CDHS/TCS. Refer to Appendix I.

15. Grantees are expected to hire program and fiscal/administrative staff with the appropriate training and experience to fulfill all program grant related deliverables as well as to fulfill payroll, accounting, and administrative procedures.

16. Grantees are to be aware that CDHS/TCS may withhold payment of invoices for lack of documented and/or timely progress, as well as any apparent non-compliance with contract requirements.

IV. APPLICATION REQUIREMENTS AND INSTRUCTIONS

A. **General Requirements**

1. **Compliance with CDHS/TCS Policies**
   The SOW and Budget is to be consistent with the policies and procedures found in the Policy Section of the *Competitive Grantee Administrative and Policy Manual* herein referred to as the Policy Section. The Policy Section is posted on the CDHS/TCS web site at:
   http://www.dhs.ca.gov/tobacco/html/RequestforApplications.htm (see Policy Manual [February 2004, 93 pages, pdf].) As you develop your SOW and Budget, please review the Policy Section and pay particular attention to those policies addressing mini-grant programs, incentives, promotional items, sponsorship, and lobbying.

2. **READ ALL INSTRUCTIONS CAREFULLY**. Be sure to include all of the information required in this RFA, including all attachments and copies.
   Re-check the application to ensure completeness.

3. **DO NOT ASSUME** the reviewers have prior knowledge of the past history of the applicant agency or previous tobacco control programs administered by the agency. The responsibility is on the applicant to demonstrate an understanding of the services to be delivered under the intended contract, the capacity of the applicant agency to carry out the services, and the ability to design and carry out efficient services that are reasonably budgeted.

4. **DO NOT PROVIDE ANY MATERIALS THAT ARE NOT REQUESTED.** Any materials submitted that are not requested under this RFA will be discarded prior to application review, including pages that go over the maximum number in specified sections with page limitations.

5. Number each page of the application consecutively.

6. The type font size is to be no less than 12 characters per inch.

7. Folders and binders are **not** desired and will be discarded; securely staple the application in the upper left corner.

8. Attachments 1, 6, 7, and 8 require a signature by the person authorized to legally bind the applicant agency to the commitment outlined in the application.
   Allow enough time to obtain these required signatures.

9. Attachment 4 requires a signature from tobacco control program project directors in order to complete the "Acknowledgement of Communication" form.

10. Clearly indicate "Youth Recruitment for Tobacco Control Law Enforcement Activities RFA TCS 04-102" on the outside of the mailing envelope.

B. **Organization of the Application**

Present the components of the Application in the order listed below using the instructions provided on subsequent pages to complete each area.

Note: Items 1 and 9a, b, and d listed below with a "K " preceding them, denote that these documents require a signature *by the person authorized to bind the applicant agency*. Read the documents and allow time to obtain the required signature.

Also: Item 5b listed below with a "✍" preceding it denotes that the document requires a signature from LLA tobacco control program project directors completing the form.

K 1. Application Cover Sheet (Attachment 1)
2. Application Checklist Form (Attachment 2)
3. Table of Contents (Attachment 3)
4. Narrative (no Attachment, 10-page maximum)
5. Coordination
   a. Communication and Collaboration (2-page maximum)
✍ b. Acknowledgement of Communication with CDHS/TCS-Funded Projects Form (Attachment 4)
6. Applicant Capability – (no Attachment provided; 10-page maximum, not including d.)
   a. Program/Evaluation Experience
   b. Administrative/Fiscal Experience
   c. Equipment
   d. Letters of Reference (3 required)
7. SOW and Evaluation (Attachment 5)
8. Budget and Budget Justification (no Attachment)
9. Additional Required Forms
K a. Drug-Free Workplace Certification (Attachment 6)
K b. Agency Documentation Requirements (Attachment 7)
   c. Proof of Non-Profit Status (No Attachment)
K d. Certification of Non-Acceptance of Tobacco Funds (Attachment 8).

C. **Application Criteria and Instructions**

1. **Application Cover Sheet (Attachment 1)**

Item 1: Enter the legal name of the applicant. Fill in the project name. Enter the mailing address, which will appear on any subsequent agreement. Enter the name of the county in which the applicant's headquarters is located.

Enter the name of the primary person to be contacted regarding this application, the phone number, fax number, and e-mail address. Enter the federal identification number of the applicant.

Item 2: Enter the grant term of July 1, 2004 to June 30, 2007.

Item 3: Enter the budget amount requested for the entire grant.

Item 4: Identify the Contract Recruiting Area that your project is proposing to recruit in as either Southern or Northern California (Northern California includes the central part of the state as well as the northern part). Do not list each county. For whichever portion of the state you identify, CDHS/TCS will expect you to recruit youth in each of the counties listed in the corresponding Contract Recruiting Area described below. A list of the total number of youth to be recruited and maintained for each county is contained in Appendix A.

Northern California Contract Recruiting Area:
Includes the following counties: Alameda, Alpine, Amador, Butte, Calaveras, Colusa, Contra Costa, Del Norte, El Dorado, Fresno, Glenn, Humboldt, Inyo, Kern, Kings, Lake, Lassen, Madera, Marin, Mariposa, Mendocino, Merced, Modoc, Mono, Monterey, Napa, Nevada, Placer, Plumas, Sacramento, San Benito, San Francisco, San Joaquin, San Mateo, Santa Clara, Santa Cruz, Shasta, Sierra, Siskiyou, Solano, Sonoma, Stanislaus, Sutter, Tehama, Trinity, Tulare, Tuolumne, Yolo, and Yuba.

Southern California Contract Recruiting Area:
Includes the following counties: Imperial, Los Angeles, Orange, Riverside, San Bernardino, San Diego, San Luis Obispo, Santa Barbara, and Ventura.

Item 5: The applicant official authorized by the agency to sign on behalf of the agency must sign and date the certification statement provided. Also type the name and title of this official.

2. **Application Checklist Form (Attachment 2)**

The items included on the checklist are ***required*** to be submitted as part of the application and should be presented in the order noted on this form. **If any items are omitted from the application, the application will be considered incomplete and out of compliance with this RFA and will not be reviewed.** Complete the attached application checklist form to ensure that all application attachments and required components are included.

3. **Table of Contents (Attachment 3)**

   Applications must have a Table of Contents with page numbers referenced. Application sections must be presented in the sequence shown on the Application Checklist (Attachment 2).

4. **Narrative (No attachment provided, 10 page maximum) = 20 POINTS**

   Criteria:
   Funding preference will be given to those applicants that most closely address the criterions below:

   - Includes the relevant demographic and geographic characteristics of the recruiting area that the applicant is proposing to recruit in as it relates to the youth recruitment requirements outlined in Appendix A and extends beyond the data provided in this RFA.

   - Describes the political, economic, attitudinal, and socio-cultural influences that facilitate and challenge youth recruitment efforts, including public opinion towards tobacco use, enforcement of tobacco access laws, and the recruitment of youth to participate in tobacco control law enforcement activities.

   - Demonstrates an effective and comprehensive plan to recruit youth, which may include collaboration with LLAs, youth serving organizations, school clubs and programs, law enforcement agencies, and media to fulfill the requirements of the RFA SOW activities listed in Attachment 5.

   - Demonstrates an agency approach to maintaining the required youth recruit roster and effective methodologies for preventing and overcoming youth recruiting shortages and challenges.

   Instructions:
   For this section, “bring to life” your experience and expertise with youth recruitment in the area of the state where you will recruit. Describe the geographical and attitudinal aspects of the major communities, your current partnerships with schools, youth groups, and other relevant organizations in those communities, and your strategies to recruit and maintain the required number of youth recruits. Address how your agency will overcome challenges working with schools, youth groups, small rural communities, media, and the fickle nature of the target age group.

Prepare a Narrative summary of no longer than ten (10) pages that addresses the following:

a. **Recruiting area "landscape"**
   Briefly describe the relevant geographic and demographic characteristics of the Contract Recruiting Area that your agency is proposing to recruit in as it relates to the youth recruitment requirements outlined in Appendix A. Your description should encompass in broad terms the totality of your proposed Contract Recruiting Area (as described in Section IV, C, 1., Item 4, "Application Cover Sheet", page 20) with relevant highlights of key populated regions. Address how your agency will overcome environmental barriers and challenges (such as geographic distance or sparse populations) to ensure sufficient youth are recruited.

b. **Factors that facilitate and challenge youth recruiting**
   Briefly describe the political, economic, attitudinal and socio-cultural influences that facilitate and challenge youth recruitment in your proposed Contract Recruiting Area for the key (significant) populated regions you identified in "a." above. Address youth, key opinion leader, and general public attitudes and opinions regarding tobacco use, enforcement of youth tobacco access laws, and participation by youth as decoys in tobacco control law enforcement activities. Describe how your agency will overcome political, attitudinal, or cultural challenges to ensure that sufficient youth are recruited.

c. **Youth recruitment plan**
   Describe your organization's planned approach and strategies to recruit youth for your proposed Contract Recruiting Area. The plan should include a description of existing relationships within your Contract Recruiting Area with youth serving organizations (such as schools and youth groups), community partnerships (that may include community organizations, media, and enforcement agencies), youth venues, CDHS/TCS LLAs, programs and contractors, and history of working in your Contract Recruiting Area. Provide a justification as to why you believe the proposed approach and strategies will be effective and address the environmental challenges identified.

d. **Case Scenario: Youth recruit roster maintenance**
   Demonstrate your agency's approach to maintaining the required youth recruit roster by describing how your agency would respond to the following scenario:

   > "Comstock County" has not been inspected by CDHS/FDB in two years. Mostly rural with a total population of 300,000, the county spans over 1,000 square miles and is separated by a mountain range from the rest of California. It has three large towns, each with a population of 40,000 to 80,000 mostly conservative farm and blue-collar workers, and high smoking and illegal tobacco sales rates. CDHS/FDB has just notified you

that three youth, two of whom should be Hispanic, are needed for operations there and that there are no youth on the recruit roster.

Based on your experience, demonstrate your organization's approach to recruiting and maintaining the required youth recruit roster. Demonstrate how your agency will overcome shortages and youth recruiting challenges by discussing how your agency will identify community resources, establish contacts that will result in recruiting opportunities, and successfully recruit the required youth for Comstock County. Discuss what measures your organization will take to ensure the roster depletion is not repeated in Comstock County and throughout your Contract Recruiting Area. In addition, address how your agency will ensure that the youth you recruit will experience a rich and rewarding endeavor.

5. **Coordination (Attachment 4) = 10 points**

Criteria:
Funding preference will be given to those applicants that most closely address the criterion below:

- Demonstrates strong communication and collaboration skills with TCS-funded projects and other tobacco control projects.
- Demonstrates proficiency in conducting outreach to TCS-funded projects.
- Demonstrates that adequate communication took place with relevant agencies and groups regarding the SOW activities.
- Demonstrates coordination with existing projects.

Instructions:
Follow the instructions for completing sections a. and b.

a. **Communication and Collaboration (2-page maximum, no Attachment)**
In no more than 2 pages, describe the communication and collaboration methods that will be used during the project term. Include the following descriptions on how the project plans to:
   - Conduct proactive outreach to TCS-funded agencies working within the Contract Recruiting Area.
   - Collaborate with other agencies working on the same or similar intervention activities.
   - Communicate and share successes and challenges with tobacco control funded programs in California.

b. **Acknowledgement of Communication with CDHS/TCS Funded Projects Form (Attachment 4)**

   The purpose of the Acknowledgement of Communication with CDHS/TCS Funded Projects Form is to confirm that applicants discussed their application with all of the LLAs in their respective Contract Recruiting Area to facilitate coordination. While not required, the form may also be used to demonstrate communication with other TCS funded agencies. Applicants must decide how they will implement the SOW and with whom they will coordinate and/or collaborate with to achieve youth recruitment goals.

The Acknowledgement of Communication with CDHS/TCS Funded Projects Form is to be completed by each LLA involved in the applicant's proposed Contract Recruiting Area. Applicants should refer to the directory of CDHS/TCS Funded Projects on the CDHS/TCS web site: http://www.dhs.ca.gov/tobacco/html/RequestforApplications.htm (see "List of TCS Funded Agencies").

Applicants should discuss with each LLA any similarities with existing efforts, potentials for joint activities, opportunities for recruiting (such as youth coalition meetings, trainings, youth summits, Team O2 and other events, etc.), and information on LLA activities and opportunities that can be promoted to the youth that are recruited. Completed forms must be included in the application. Completed forms sent **separately** from the application will **not** be reviewed. Please note: the cities of Berkeley, Long Beach, and Pasadena are also LLAs, however, they are not listed as separate recruitment areas.

6. **Applicant Capability (No attachment, 10-page maximum) = 25 points**

Criteria
Funding preference will be given to agencies that exhibit the following qualifications:

a. Demonstrates at least three years previous experience working with youth ages 14-16, including supervising, training, and recruiting youth and organizing youth events. This should include development of educational materials, media interventions and activities that are appropriate in terms of age, literacy level, and cultural sensitivity.

b. Demonstrates a history of working in the geographic area proposed to be served.

c. Demonstrates a history of strong collaborative relationships with CDHS/TCS funded agencies, youth serving organizations and high schools in the communities where services will be delivered.

d. Demonstrates the ability to start up and begin implementation within six weeks of the contract start date.

e. Demonstrates that staff has the training, skills and experience necessary to provide the program, evaluation, fiscal, and management needs described in this RFA.

f. Demonstrates at least two years satisfactory performance with administrative, fiscal, and programmatic management of government grant funds, including timely and accurate submission of fiscal and program documentation, subcontracts and compliance with all state contract requirements.

g. Demonstrates the ability to equip the project with office furniture, computers, printers, copy machines, etc., to support staff and program needs.

h. Pursuant to H&S Code Section 104445, preference shall be given to current contractors that have demonstrated effectiveness and capacity in providing tobacco education services.

Instructions
For the Applicant Capability section, address the following requirements in no more than ten pages:

a. **Program/Evaluation Experience**

1) Describe the applicant's experience in conducting youth recruitment, including organizing youth events, supervising, training and recruiting youth ages 14-16, educational materials development, use of media, and other activities.

2) Describe the applicant's history of working in the proposed Contract Recruitment Area.

3) Describe the applicant's relationships with CDHS/TCS funded agencies, youth serving organizations, and high schools in the communities where services will be delivered.

4) Describe the applicant's capability and resources to ensure timely start-up and implementation of the proposed project. Describe how the proposed project will be integrated into the agency's organizational structure.

5) Describe the qualifications of key program staff. Describe their educational background and previous experience with the types of recruitment activities to be conducted. Include community development, youth advocacy and leadership, report writing, media advocacy, and program evaluation, etc. **Do not attach resumes**.

6) Describe the staff primarily responsible for designing and planning evaluation activities through the completion of the form for the Local

Program Evaluators Directory. This directory is available online at: www.dhs.ca.gov/tobacco. Print the report from the directory and include it with the application. Note: The printed pages from the directory do not count as the ten pages in your maximum page count for this section.

b. **Administrative/Fiscal Experience**

1) Describe the applicant's current administrative staffing pattern for activities such as payroll, bookkeeping, invoicing, and general tracking of administrative and fiscal controls. Describe the qualifications of key fiscal staff, including a description of the staff's experience with monitoring government grant funds. **Do not attach resumes.**

2) Describe the applicant's history in the last two years managing state government grant funds. Include in the description the funding agency, the amount received, and how the grants were managed, (e.g., were the grant deliverables accomplished, progress reports, and invoices submitted timely, and were fiscal records in good standing?)

3) Describe the applicant's internal audit history in the past two years. Describe the frequency of audits, date of last audit, and a summary of the major findings from the last audit.

4) Indicate if the applicant has been audited by a State agency within the last two years. If yes, list: 1) the name of the State agency; 2) State agency contact person and phone number; 3) the year the audit was conducted; and, 4) the outcome of the audit. CDHS/TCS reserves the right, at its sole discretion, to follow up with references to confirm the audit history.

c. **Equipment**
Due to limited funds, there will be no equipment approvals for this RFA process. Therefore, agencies must have adequate equipment available for use in this proposed project.

1) Describe the office and computer equipment the applicant has available for use in this project. Include in the description: a) the number and type of equipment available, e.g., desks, chairs, typewriters, facsimile machines, personal computers, printers, etc.; b) whether or not the computers have modems and communications software; c) the software packages your agency uses for word processing, spreadsheets, databases, etc.; and, d) age of and approximate date the computer equipment was purchased, and its availability for use in this project, if funded.

d. **Letters of Reference**
The applicant should solicit and include three (3) letters of reference and attach them immediately following the description of the equipment. Number

these letters consecutively as part of the application. If the applicant has in the past or is currently receiving funding from a local, state, or federal agency, other than CDHS/TCS, one of the references **must be** from one of these agencies. No more than three letters will be accepted.

The letters are to be on the reference agency's letterhead and must include:

1) The address, telephone number, e-mail, name, and title of the letter's author.

2) A description of the capacity in which the reference worked with the applicant.

3) The applicant's ability to recruit youth.

4) The applicant's experience in working collaboratively with community groups.

5) The applicant's fiscal and administrative ability to manage government grant funds, including satisfactory performance with administering and managing government grant funds through timely and accurate submission of fiscal, program and evaluation documents.

CDHS/TCS reserves the right, at its sole discretion, to contact references for further information prior to the RFA review process.

7. **SOW and Evaluation (Attachment 5) = 25 points**

For this RFA, agencies are to work in the CDHS/TCS "*Reduce the availability of tobacco products"* priority area only. This priority addresses key factors related to how and where tobacco products are sold.

CDHS/TCS has developed a community-planning model called *Communities of Excellence in Tobacco Control (CX)* used by LLAs to develop their Comprehensive Tobacco Control Plans. The purpose of CX is to provide a systematic and consistent method to assess and prioritize a community's tobacco control needs and develop appropriate interventions to address them. For this grant, agencies will be working on "Indicator number 3.1.1: *extent of compliance with state laws prohibiting the sale of tobacco to minors and requiring ID checking*." It is NOT necessary for applicants to be versed in the CX process, rather, the inclusion of "Indicator number 3.1.1" within the objective is all that is required.

The mandatory activities for the SOW of this grant are contained in Attachment 5 and are identified with an asterisk. Applicants are to fill in the blank sections of the SOW in Attachment 5 as instructed below and submit it with their application. Applicants may choose to add additional activities as they deem appropriate.

Criteria
Funding preference will be given to those applicants that most closely address the criterions below:

- The SOW contains the following objective addressing youth recruitment: *"By June 30, 2007, develop and maintain an ongoing youth recruitment and outreach program that organizes a minimum of ____ (insert actual number) youth between the ages of 15-16 years old to participate in tobacco sales surveys and enforcement activities within the ____ (i.e., Northern or Southern) California Contract Recruiting Area. CX number 3.1.1".*

- The SOW includes the mandatory activities listed below and asterisked in Attachment 5. Any additional activities must be appropriate for recruiting youth and consistent with the principles of working with communities. The SOW must provide a well-organized and detailed "road map" of the project that describes:

  - *How much will be done;*
  - *Where activities will occur;*
  - *What will be done (e.g., educational methods, advertising, public relations, data collection methods, incentives, promotional items, etc.);*
  - *Staff, subcontractors, or consultants responsible for the activities;*
  - *Appropriate and reasonable tracking measures; and*
  - *An evaluation plan for each objective.*

- The SOW includes a process evaluation plan that:

  – Measures and determines progress made towards achieving each process objective described in the SOW;

  – Helps to identify changes needed to improve service delivery;

  – Uses appropriate tracking measures to determine if the objective was met. This will require tracking the number of youth recruited and administering an annual anonymous quality assurance survey of 1) at least 20 percent of youth recruited in the past 12 months, and 2) all CDHS/FDB investigators who worked within the Contract Recruiting Area served by the applicant. This will also require allocating resources for database management, data entry, report writing, and dissemination of evaluation findings; and

  – Includes the following information for each objective:

    1) What is being measured (i.e., number of youth to be recruited);
    2) The instruments to collect data (i.e., youth and CDHS/FDB investigator satisfaction survey);
    3) How data will be collected;

4) The location where data will be collected;
5) How many will be measured (i.e., at least 20 percent of youth recruited in the previous 12 months);
6) How the sample will be selected;
7) The type of analysis to be done; and
8) How the results will be disseminated.

Please see the Local Program Evaluation Guide in the evaluation resources section of www.cstats.info and http://www.dhs.ca.gov/tobacco/html/Evaluation_Resources.htm.

Guidelines for Completing the SOW

a. The eight-column SOW format must be used by all applicants to ensure consistency for review purposes by CDHS/TCS staff and reviewers**. Plans presented using a format other than that described below will NOT be reviewed.**

b. Carefully follow the SOW requirements and preferences for funding. Provide all the required information and the detail necessary to make the proposed project clear. Applicants must provide all the required information as detailed in the instructions provided in this document.

c. The SOW provides the basis for contract negotiations, and along with the Budget, becomes a legally binding document. The SOW is referenced in the contract and is the "road map" that provides the direction, activities, and expected outcomes of the project. The approved SOW, and any subsequent revision, is incorporated and made part of the contract. The SOW can only be changed with prior approval from CDHS/TCS.

d. The Budget and Budget Justification should closely correspond to SOW activities, deliverables, and timelines. For example, if youth are to receive incentive items for completing a "Refer-a-Friend" card, funds should be budgeted for the purchase or development of the incentive items. If promotional items are to be distributed at events, these should be identified in the SOW, Budget, and Budget Justification.

Instructions for formatting the SOW

Complete the SOW provided in Attachment 5 using the following instructions. Attachment 5 contains mandatory activities (also printed below) that must be included in each applicant's SOW. Additional supplemental activities to complement the mandatory activities may also be proposed. A blank template is available online at the CDHS/TCS web site, http://www.dhs.ca.gov/tobacco/html/RequestforApplications.htm (see "Scope of work"). Please note: CDHS/TCS anticipates competitive grant applications will transition into the Online Tobacco Information System (OTIS) in January 2005. To facilitate the transfer of the SOW into OTIS, including evaluation, applicants are required to provide information prescribed as follows:

a. **Header Information**
The header information must be included on every page. Include your agency name and project name. The contract term is July 1, 2004 to June 30, 2007. Leave the grant number and Progress Report Period blank.

b. **Column #1: Priority Area/Objective/Activities/Evaluation**

Priority Area – At the top of the column state the priority area:
"Reduce Availability of Tobacco Products."

Objective – Present the following objective with the required specificity relative to the Contract Recruiting Area you are proposing to recruit in:
"By June 30, 2007, develop and maintain an ongoing youth recruitment and outreach program that organizes a minimum of ___ youth between the ages of 15-16 years old to participate in tobacco sales surveys and enforcement activities within the ___ (Northern or Southern) California Recruitment Area. CX number 3.1.1."

- Indicate the minimum number of youth to be recruited based on the list provided in Appendix A.
- Indicate the Recruitment Area of the state that your agency will be conducting recruiting efforts based on the breakdown provided in Section IV, C., 1., Item 4 (page 20).
- Indicate that the Communities of Excellence (CX) Indicator number 3.3.1 is being addressed at the end of the objective.

Activities – Immediately following the objective, use an annotated outline format to describe the activities to be conducted to achieve the objective.

Group and organize activities using the "Major Intervention Categories" headings listed below and in Attachment 5. These categories are purposely broad and are a means to organize similar activities. These headings must be used. Please keep them in the order indicated below and do not create your own headings**.**

Mandatory activities for each Major Intervention Category are listed below and asterisked in Attachment 5. Applicants are welcome to propose additional supplemental activities to complement the mandatory activities if so desired.

Describe each activity to be conducted in terms of how much will be done and where the activities will occur. In describing the activities, quantify the amount of work to be performed in order to help justify the budget request. You are encouraged to use ranges. Indicate the length, frequency and number of trainings, presentations, site visits, educational materials, etc. Indicate where appropriate, the geographical location or site where activities will occur (e.g., Comstock County fair grounds, high schools, county parks and recreation facilities, rodeos, etc.).

Most traditional administrative-type duties should be listed under the "*Coordination/Collaboration Activities*" category, while various recruitment activities may fit under one of several different categories, such as community education, school-based education, media, incentive items, etc. Using the mandatory and sample activities as a guide, arrange your activities chronologically under these headings.

Applicants should use a comprehensive approach with a mix of activities designed to accomplish the objective. If your SOW does not include activities specific to one of the Major Intervention Categories, then do not list that category in your SOW. NOTE: Many CDHS/TCS grantees conduct "Policy" and "Sponsorship" interventions, however, such activities are not applicable to this RFA and should not be included. They are listed below for informational purposes only.

Evaluation activities, such as youth and CDHS/FDB quality assuarance surveys, must be categorized separately under the heading "Evaluation Plan." The Evaluation Plan is to be included at the end of the activities in the SOW. It is not a separate document.

Major Intervention Categories
Coordination/Collaboration Activities
Community Education Activities
School-based Education
Training/Technical Assistance Activities
Policy Activities (not applicable to this RFA)
Media Activities
Educational Materials Development
Mini-Grants
Sponsorship Activity (not applicable to this RFA)
Incentive Items
Promotional Items

Coordination/Collaboration Activities: Describe whom you will coordinate and collaborate with to avoid duplication of effort and maximize your resources. Describe the activities in detail. These may include coordinating and collaborating with LLAs, competitive grantees, non-Proposition 99-funded groups, etc.

MANDATORY ACTIVITIES:

1) Participate in 1-3 meetings or teleconferences annually with CDHS/FDB investigators, CDHS/TCS staff, and Behavioral Health Institute (BHI) staff to discuss youth recruitment strategies, activities, and youth access issues. CDHS/TCS and CDHS/FDB will facilitate calls.

2) Participate in 2-3 CDHS/TCS funded trainings per year (including the Project Directors' Meeting) that address working with youth, youth recruitment strategies, and youth access to tobacco issues.

3) Conduct outreach and nurture relationships with each LLA, competitive grantee, Penal Code 308(a) enforcement agencies, and significant youth organizations in the Contract Recruiting Area. Promote the STAKE Act program and recruiting needs on an ongoing basis at 2-4 regularly scheduled monthly meetings, teleconferences and/or other opportunities, for a minimum total of 24 meetings per year.

4) Communicate with Contract Recruiting Area CDHS/FDB agents via phone or e-mail on a monthly basis to ascertain and track youth recruitment requirements, recruit performance, hours worked by youth (labor law control), need for materials, food coupons, etc.

5) If applicable, conduct monthly status meetings with field staff, subcontractors or cooperative/partner community groups to track progress of recruiting efforts, provide technical assistance, ascertain training needs, and recommend improvements. Take action as necessary to ensure youth recruitment requirements are fulfilled.

6) Contact Rogers & Associates and CYAN on a quarterly basis to obtain the schedules of Team O2 Van appearances and other youth events. Post the schedules on the STAKE Act Web site and include in mailings to youth recruits.

7) Maintain and update current list of Department of Motor Vehicles (DMV) branches in the region on an annual basis and include list in recruit application packet.

8) Monitor, maintain and respond to messages left on the toll-free telephone hotline and Web site on a daily basis.

9) Mail out application packets to youth on a weekly basis. Packets will include materials necessary to register youth into the STAKE Act youth

decoy program, including: an application form, parental and medical consent forms, release of liability form, "Refer-a-Friend" form, instructions requesting a birth certificate, DMV photo identification, and information about the recruiting agency and other tobacco control youth-related program opportunities, such as Team O2 events, CYAN, Friday Night Live (FNL), etc.

10) Using a “recruit application in-processing check-off tool,” process incoming recruit applications and check for completeness on a daily basis. Ensure applications include a copy of DMV photo ID, birth certificate, school address (including cross street), phone number to reach youth, and address(es) of both parents (if divorced) of youth.

11) Conduct follow-up telephone calls with potential youth recruits for missing application information, to ascertain youth’s eligibility, and advise youth of application acceptance. Prescreen all youth recruits to determine that they meet program qualifications, to include: a youthful appearance, the ability to follow directions, possess good math and communication skills, possession of or ability to obtain DMV photo ID, have no history of violent crimes or felony offenses or chronic discipline problems, are available weekday afternoons and early evenings as determined by CDHS/FDB, and have an understanding of the intermittent and enforcement nature of decoy operations. During the interview process, provide information about other youth opportunities, such as LLA youth coalitions, CYAN, and tobacco control youth-related events.

12) Mail welcome/confirmation packets to youth applicants congratulating them on their acceptance into the STAKE Act program. Include a description of the sporadic nature of STAKE Act youth decoy operations and what youth can expect; tips for working successfully with CDHS/FDB, rewards of service; payment information regarding youth recruit work; a certificate of appreciation; appropriate gift certificate incentive; "Refer-a-Friend" forms; background information about the recruiting agency; and information about other tobacco control program opportunities, such as LLA youth coalitions, CYAN, FNL, Team O2 events, etc.

13) Provide youth throughout the Contract Recruiting Area with assistance in obtaining their DMV photo ID card, including $20 payment per card, on an as-needed basis.

14) Fax or overnight recruit data packets to CDHS/FDB investigators on a daily basis. Packets are to include parental permission/release of liability forms, copy of DMV photo ID, copy of birth certificate, completed screening form, medical consent form, and other appropriate documentation. Information should include youth’s residence (for both

parents if divorced), telephone contact information, and school address with cross street.

15) Maintain a youth recruitment database with Microsoft Access 2000 and DataSafe software on a weekly basis: enter new recruits, inactivate "phase out" recruits 30 days prior to their 17th birthday, enter applicable tracking data (work dates, stipends, mailings, appreciation letter, referrals, incentives, etc.) E-mail youth recruit data and mail documentation to BHI on a monthly basis, and discuss maintenance of database with BHI on an "as needed" basis.

16) On a daily basis, maintain and file applications in a manner that will protect confidentiality of youth recruits.

17) Recruit and maintain the required minimum number of ___ youth age 15-16 years old of the appropriate ethnicity who are available and ready to participate in tobacco retail enforcement activities and sales surveys as prescribed in TCS RFA 04-102, Appendix A, for ___ county.

    (Repeat this activity for each county.)

18) If requested, provide BHI with assistance in securing youth recruits for participation in the annual California Youth Tobacco Purchase Survey.

19) Post quarterly announcements regarding youth recruitment activities on PARTNERS Strategy Exchange.

Community Education Activities: Describe community education efforts such as presentations, outreach, youth recruitment, special events, campaigns, and small group education.

Mandatory Activities:

1) Conduct a minimum of 24 youth recruitment presentations annually, 10-30 minutes in length, regarding the STAKE Act program, illegal tobacco sales to youth, and decoy operations to community-based youth organizations such as YMCA's, Boys and Girls Clubs, FNL, church groups, youth coalitions, and other groups that work with youth in the Contract Recruiting Area. Coincide recruiting efforts with Team O2 appearances and other youth-related organized tobacco control events, such as the CYAN annual youth summit, whenever possible. The STAKE Act program, benefits of recruit service and application process will be presented, and applications, brochures, and promotional items will be distributed.

School-based Education Activities: Describe school-based educational efforts that take place in high schools or home schools. Describe efforts such as presentations, youth recruitment, special events, campaigns, small group education, etc. Please review the Policy Section of the Competitive Grantees Administrative and Policy Manual for requirements about working with schools.

Mandatory Activities:

1) Conduct a minimum of 24 youth recruitment presentations annually (in addition to the 24 presentations listed separately under the "Community Education Activities" category), 10-30 minutes in length, regarding the STAKE Act Program, illegal tobacco sales to youth and decoy operations to high schools and school-based events and organizations such as Key Clubs, California Scholarship Federations, National Honors Societies, Peer Assistance Leadership clubs, ROTC, ROP, and other on-site school organizations throughout the Contract Recruiting Area. Coincide recruiting efforts with Team O2 appearances and other youth-related organized tobacco control events whenever possible. The STAKE Act program, benefits of recruit service and application process will be presented and applications, brochures, and promotional items will be distributed.

Training/Technical Assistance Activities: Describe training activities. These are activities designed to train others in the development of a new skill. Training activities may target such things as training in-house and field staff, coalition members, partner agencies and volunteers on how to make presentations for youth recruitment. Training activities are more extensive than presentations and involve the use of a curriculum with specific learning objectives.

Mandatory Activities:

1) Provide 1-2 trainings, 30-60 minutes in length, to all staff (and if applicable, subcontractors, and/or collaborative recruiting partner agencies) annually throughout the Contract Recruiting Area. The training will include recruitment techniques, an overview of the STAKE Act youth recruiting program, CDHS/FDB STAKE Act field inspection practices, form requirements, obtaining DMV photo ID, CDHS/TCS, child labor laws, other youth programs and activities, the benefits of recruit service, and other relevant information. Training curriculum from previous STAKE Act trainings will be updated annually.

2) Provide 10-20 hours of technical assistance on an as needed basis annually to field staff, (and if applicable, subcontractors and/or collaborative recruiting partner agencies) regarding youth recruiting and the STAKE Act program.

Media Activities: Describe media activities. This includes development of print, outdoor, or electronic advertisements, public relations activities, press events and other activities designed to either place your message in the media or obtain coverage of your message by the media (newspapers, radio, television reporters). Prior to proposing to develop any media materials, check with the Tobacco Education Clearinghouse of California (TECC) to determine if a piece currently exists that could be used or could be modified for use. The newly designed CDHS/TCS STAKE Act logo should also be incorporated in all materials. In the description of advertisements to be developed, describe the development process, pilot testing/evaluation, production and dissemination. The description should include information on the format of the piece, content, length in pages or time, who the target audience is, and the number to be printed or produced. For public relations activities, describe and quantify the nature of the event.

Mandatory Activities:

1) Create 1-3 radio ads, 30-60 seconds in length, targeting 15-16 year olds, including, if appropriate, ethnic populations, and place semi-monthly or quarterly at a minimum of __ (#) radio stations that cater to the targeted youth listeners ages 14-16, for a total airtime purchase of ____(#) airings throughout the Contract Recruiting Area. Ads will include STAKE Act phone and Web site information, and will be focus group tested and modified as needed before placement. TECC will be contacted to determine if materials currently exist that could be used or modified.

2) Create 1-3 youth recruitment print ads targeting 15-16 year olds, including, if appropriate, ethnic populations, and place semi-monthly or quarterly in ____ (#) community or high school newspapers, Web sites, bulletin-board postings or other youth oriented publications, including appropriate ethnic publications. Ads will include STAKE Act phone and Web site information, and will be focus group tested and modified as needed before placement. TECC will be contacted to determine if materials currently exist that could be used or modified for use.

3) Regularly maintain, update, and coordinate with other CDHS/TCS-funded youth recruiting agencies the STAKE Act youth recruitment Web site (www.STAKEACT.com or www.STAKEACT.org). Update program information and Application Forms that can be completed on-line or downloaded for submission. Web site will contain information regarding the STAKE Act program, opportunities for other tobacco control youth-related program participation such as CYAN, LLAs, FNL, etc., and links to other tobacco control related Web sites. Web site should be an inclusive resource of information for youth. Web site address will be included in all advertising, promotional materials and business cards that will be

available at all recruiting events. Web site will be monitored on a weekly basis for e-mails, submitted applications, etc.

Educational Materials Development Activities: Describe educational materials development. This does not include development of advertisements. It refers to posters, pamphlets, curriculum, flip charts, etc. Prior to proposing to develop any educational materials, check with TECC to determine if a piece currently exists that could be used or modified for use. In the description of the educational material, describe development process, pilot testing/evaluation, printing and dissemination. The description should include information on the format of the piece, content, length in pages or time, who the target audience is, and the number to be printed or produced.

Mandatory Activities:

1) Review and update STAKE Act recruitment materials targeting youth ages 14-16 such as 1-3 page pamphlets and brochures. TECC will be contacted for current materials, and newly developed materials will be focus group tested and modified as needed. The CDHS/TCS STAKE Act logo will be incorporated in all materials. Distribute a minimum of 1,000-2,000 to youth at high school and community youth events and to youth organizations throughout the Contract Recruiting Area during the contract period.

2) Review and update if necessary STAKE Act youth recruitment application packets annually, to include application form, parental consent form, youth consent form, release of liability, medical release form, recruiting agency backgrounder, DMV photo ID application form and directory, STAKE Act decoy participation instructions, and other relative STAKE Act program information. Ensure materials request copy of current DMV photo ID of youth, addresses and phone numbers of both parents (if divorced) address and cross street of school, youth cell phone and/or pager numbers, and e-mail address.

Mini-Grant Activities: Describe those grants that are awarded for short-term projects that support and enhance achievement of objectives. Describe the number to be awarded and the general type of projects to be awarded. Please review the Policy Section of the Competitive Grantees Administrative and Policy Manual for requirements about mini-grants.

Mandatory Activities: None

Sample Activity: Award 2-4 mini-grants annually through a competitive process to community youth organizations to promote and/or conduct STAKE Act youth recruitment at teen oriented sporting and community events in ____ county. Requirements outlined in the CDHS/TCS Competitive Grantee

Administrative and Policy Manual for managing a mini-grant program will be applied, including mini-grant program promotion, awarding and training requirements.

Incentive Activities: Describe incentive items. Tobacco use prevention projects may use incentives to reinforce or motivate a behavior change. Incentives are only to be given to participants attaining a pre-specified goal. If you plan to use incentives, identify the types of items you intend to use and how they will be used. If the exact incentive item is not known, list possible examples, e.g., gift certificates, movie passes, etc.

Mandatory Activities:

1) Distribute 200 - 500 incentive items, such as movie passes and gift certificates, to youth who complete and return all required paperwork and "Refer-a-Friend" forms throughout the Contract Recruiting Area during the contract period. Forms and incentives will be tracked to ensure incentives are kept at a maximum of $50 per youth, per year.

2) Provide stipends of $5 per store and meal coupons of $5-$15 per day for food to youth performing STAKE Act fieldwork within two weeks of their completing CDHS/FDB inspections.

3) Provide letter of appreciation/commendation or recommendation and certificate of achievement to youth that participated in CDHS/FDB STAKE Act inspection operations within two weeks of completing fieldwork.

Promotional Item Activities: Describe promotional items. Promotional items are used to generate visibility and interest in the program. They generally include items such as buttons, key chains, stickers, posters, etc. If the exact promotional items are not known, list possible examples, e.g., buttons, key chains, magnets, etc.

Mandatory Activities:
The use of Promotional Items are not a requirement of this RFA, however, are strongly encouraged.

Sample Activities:
1) Distribute 500-1,000 promotional items, such as highlighters, key chains, magnets, water bottles, ball caps, etc., promoting the STAKE Act youth recruiting Web site and hotline at school and community youth-oriented activities throughout the Contract Recruiting Area.

2) Develop and mail 10-100 promotional birthday postcards to accepted youth recruits on a monthly basis. Include information promoting other

tobacco control youth-related opportunities provided by LLAs, CYAN, FNL, Team O2 van, etc.

Evaluation Plan – The Evaluation Plan is to determine progress made toward achieving each process objective described in the SOW. The process evaluation is to use appropriate tracking measures to determine if the objective was met. This may require allocating resources for database development, data entry, report writing, and dissemination of evaluation findings.

Process evaluation is required. The activities needed to complete the evaluation are: tracking the number of youth recruited; annual quality assurance survey of 20% of youth; annual quality assurance survey of all CDHS/FDB Investigators; and a Final Evaluation Report. CDHS/TCS **will** withhold grant funds from any grantee for failing to achieve process objectives.

Present the Evaluation Plan <u>immediately</u> following your intervention activities. Create a new heading, “Evaluation Plan” within the SOW form (do not create a separate document) and present your plan using the following script:

1) Outcomes: State what is expected to change or happen as a result of the interventions. The outcome to be measured is the number of youth recruited.

   - **Example**: "A minimum of 208 youth will be recruited to participate in tobacco sales surveys and enforcement activities."

2) Data Collection: state “Data Collection Instruments” then describe all the instruments that will be used in the evaluation of the interventions. Describe the instrument for tracking the number of youth recruited. Describe the instruments used to survey the youth and CDHS/FDB investigators and address the following questions in your proposed plan:
   - What existing instrument will be used for the survey? If there is no existing instrument, please describe the main topic(s) and question(s) for the interview;
   - How many waves of the survey will be conducted;
   - How will the sample be selected;
   - How many will be in the sample;
   - What is the primary method in which the survey will be conducted; and
   - How will the results be analyzed and interpreted?

   If you are using or adapting the instrument from a particular source, please describe the source.

3) Dissemination of Results: Describe how you will disseminate the evaluation results. This should include posting results on PARTNERS.

c. **Column Number 2: Copyright ©**

Indicate if the activity involves development of a copyrightable product such as a brochure, poster, ad, manual, etc., by placing a copyright sign (©) in this column. See Appendix E for more details on copyright rules and regulations.

d. **Column Number 3: Program Deliverable Percentage**

For each program deliverable, indicate a percentage that reflects the programmatic value or percent of effort for deliverables only. The program deliverable percentage reflects a combination of staff and budget resources to complete the deliverable. A program deliverable reflects products and services developed or conducted under the contract. The deliverable is inclusive of all the coordination and collaboration conducted in order to produce the deliverable. Do not assign a percentage to activities that describe coordination, collaboration, or planning only. For example, do not assign a percentage to coordination/collaboration and planning activities that lead to the accomplishment of a press event or educational training. The press event or educational training is the program deliverable. For each objective's Evaluation Plan, the Final Evaluation Report is the only deliverable. Other evaluation activities (e.g. development of tools, data collection, interim reports) should not be assigned a deliverable percentage. The total of the percentages assigned in the SOW may not be less than or greater than 100 percent and no program deliverable may be assigned a percentage of less than 0.5 percent.

At the end of the term of this contract period, the program deliverable percentage will be used to help ascertain and calculate the maximum amount of funding the grantee should receive, based upon the completion of program deliverables. If any program deliverable is not performed, only partially performed, or is not performed at a level of quality/satisfaction, the program deliverable percentage will be used to determine a reduction in payment to the grantee.

e**. Column Number 4: Start/End Date**

List the progress report periods during which each program and evaluation activity is expected to start and end. Be sure to state the progress report period in which you will begin to work on the development of the data collection instrument(s) and the progress report period in which the data collection instrument(s) will be finalized and the progress report period in which data collection will begin and end.

Use only the progress reporting periods below as the timeframes in this column. For example, 07/04 -12/04. The progress report periods are as follows:

- 07/04-12/04
- 01/05-06/05
- 07/05-12/05
- 01/06-06/06
- 07/06-12/06
- 01/07-06/07

f. **Column Number 5: Who is Responsible**

Indicate the position responsible for each program and evaluation activity. This may include program staff, volunteers, coalition members, consultants, or subcontractors. Indicate the **specific position**, such as Project Director or Youth Outreach Specialist. These positions must correspond to the positions used in the Budget Justification. You may abbreviate position titles (e.g., HE for Health Educator). Provide a key to identify position titles if using acronyms. Do not include agencies or individuals that **are not** within your control (e.g., city officials, schools, etc.).

g. **Column Number 6: Tracking Measures**

List the items that are used to document and verify that program and evaluation activities are completed. These range from sign-in sheets, meeting logs, and press releases, to more complex measures such as focus group findings, survey instruments, and survey results. These measures verify that the activity occurred, provide supporting documentation for the progress report, and represent the process evaluation.

h. **Column Numbers 7 and 8: For Progress Report Use Only**

These columns should be left blank. They are used only for completing progress reports.

8. **Budget/Budget Justification (No Attachments) = 20 Points**

Criteria

Funding preference shall be given to applicants that:

- Submit reasonable budgets for the proposed quality and quantity of activities in the SOW;
- Propose reasonable personnel and consultant costs, given the qualifications of the individuals and needs of the project;

- Propose salaries consistent with comparable State civil service classifications;
- Provide the level of detail requested in the budget and budget justification instructions;
- Designate one staff person as the lead on evaluation activities; and,
- Allocate a minimum of five percent of the lead staff person's time toward overseeing evaluation activities.

The Budget Justification must be a realistic depiction of the expenses for your project.

Budgets must be prepared and spent on a FY cycle as required by the State Department of Finance. Funds not spent in one FY will not be available for use in the following FYs.

When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs (i.e., personnel increases/decreases throughout the budget period(s), etc.).

Budget Justification Instructions

The Budget Justification: 1) describes and justifies the expenditures associated with the activities in the SOW; and, 2) helps evaluate the SOW and Budget. Please refer to Appendix G for the required Budget Justification format. This format is required to maintain a standardized review and audit trail. Please note – this is only a **sample** of how to complete the Budget Justification – all figures in the sample are fictitious.

Prepare one Budget Justification for the entire grant period. Only use whole numbers and round to the nearest dollar. When you complete the Budget Justification, transfer the totals to the Budget page.

When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs. For example, the number of staff may increase/decrease as program intensity fluctuates.

a. Personnel Costs

   This category of the Budget Justification provides detail on the following:

   1) Position Title:

      List all classifications or functional titles for positions for the contract period. Position titles used in the Budget Justification must be consistent with the titles used in the SOW in the "Who is Responsible" column. Management and fiscal personnel (e.g., Executive Director, Deputy

Director, Attorney, Bookkeeper, etc.) budgeted at less than ten percent should not be included in the Personnel Costs category, but should be included in the Indirect Expenses category. Agencies having an established policy that includes such positions in the Personnel Costs category shall so indicate and attach a copy of the policy to the Budget Justification.

2) Salary Range:

Identify the actual salary range and the frequency of pay periods (monthly, semi-monthly, bi-weekly, weekly, hourly) for each position. The salary range shall reflect the frequency that the employee is actually paid. Do not use annual salaries. Whether part-time or full-time, enter the low-end and high-end of the full-time salary range for each position listed. Make sure the high-end of the salary range allows for any anticipated salary increases (e.g., performance or merit salary adjustments) for the position through the end of the contract period. Examples of actual salary ranges are: \$3,000-\$3,473 per month, \$1,800-\$1,985 per semi-monthly pay period, \$1,600-\$1,764 per bi-weekly pay period, \$840-\$926 per week, \$9-\$12 per hour, etc.

Pursuant to Section 3.17.1 of the State Contracting Manual, salaries paid to project staff, shall not exceed those paid to State personnel for similar positions/classifications. (See Appendix H for a listing of Comparable State Civil Service Classifications.) **If any proposed salary exceeds the State personnel salaries, justify the reason and necessity for the higher rate. Any such justification will receive close review by the State, and must be approved in writing by the State. CDHS/TCS may request additional information during contract negotiations.**

3) Percent of Time:

For each position indicate the percent of time, in whole numbers, or the total hours per pay period. For example, a full-time bi-weekly employee is 100 percent time, a bi-weekly employee who works 20 hours of a 40-hour workweek is 50 percent time. For hourly employees estimate the total number of hours per pay period (allow for low and high working cycles). If the amount of time for some positions vary from month to month, enter a percent of time **range** (e.g., 30 to 40 percent, or 10 to 20 hours per pay period, etc.)

4) Pay Periods:

Indicate the number of pay periods for which payment shall be claimed. Pay periods are defined as follows:

Monthly = 12 pay periods per year
Semi-monthly = 24 pay periods per year
Bi-weekly = 26 pay periods per year
Weekly = 52 pay periods per year
Hourly = “X” number of hours per pay period *(do not use percents of time if a position is paid hourly)*

5) Description of Duties:

   Provide a brief description of the duties, responsibilities, and activities to be performed by each position in support of this grant. Within the description identify the lead staff person responsible for overseeing and coordinating evaluation activities. Indicate the appropriate percent of time for this lead staff person.

6) Amount Requested:

   Calculate and list the dollar amount requested for each position. (Salary X percent of time X number of pay periods = Total for position).

   NOTE: The total amount requested cannot be:

   - less than the lowest dollar amount computed by multiplying the low-end of the salary range X the low end of the percent of time X the lowest number of pay periods; or,
   - greater than the highest dollar amount computed by multiplying the high-end of the salary range X the high-end of the percent of time X the highest number of pay periods.

   Total Personnel Costs: Add all personnel position dollar amounts requested in support of this grant to compute the Total Personnel Costs.

b. Fringe Benefits

   Refer to Appendix J, Contract Uniformity, for specific allowable Fringe Benefits. Please note that Fringe Benefits do **not** include employee leave (i.e., annual leave, vacation, sick leave, holidays, jury duty, and/or military leave training). List the benefits that your agency provides. If applicable, identify positions that will not receive benefits with an asterisk (*). List the percentage rate and the dollar amount requested for fringe benefits. If the percentage rate for benefits differs for various positions, indicate the low and high range (e.g., 20 to 25 percent).

   Total Personnel Expenses: Add the Total Personnel Costs and Fringe Benefits to compute the Total Personnel Expenses.

c. Operating Expenses

NOTE: Items 1) and 2) below must appear in every Budget Justification. If there are no expenses related to these Line Items, please enter zero.

1) TCS Communications Network (PARTNERS):

All funded grantees are **required** to obtain and maintain an active PARTNERS account. While there is no charge to TCS-funded grantees for the PARTNERS subscription, your agency should budget for an Internet access-provider.

Internet access fees are generally $20-$25 per month. Budget for the monthly-internet access fees for the entire grant period. (*Agencies not assessing an internet fee must indicate in the budget justification that they will be accessing PARTNERS; however, they will not be assessing TCS an internet fee*.)

2) Space Rent/Lease:

Provide the total number of square feet to be charged to this grant and the cost per square foot. Allow for any anticipated rate increases during the period. Multiply these figures by the number of months in the Budget period to obtain the subtotal. **Square footage shall not exceed 150 square feet per full-time equivalent (FTE) plus "reasonable" square footage for shared space such as conference rooms, storage space, etc.** If the total square footage needs of the project exceed State standards, justify the need for the additional space.

(total sq. ft.) X (cost per sq. ft.) X (number of months)

Example:

2 staff x 150 sq. ft. x $1.25/sq. ft. x 12 mo. =	$4,500
2 staff x 150 sq. ft. x $1.50/sq. ft. x 12 mo. =	$5,400
2 staff x 150 sq. ft. x $2.00/sq. ft. x 12 mo. =	$7,200
Total for 36 mos. =	$17,100

3) General Expenses:

Include in this line item expenses for office supplies, postage, duplicating, and communications.

a) Office Supplies:
This expense is for general office supplies (e.g., pens, pencils, paper, etc.). Equipment, travel expenses, etc., are not considered office supplies.

b) Postage:
This expense is for postage of correspondence and other materials.

c) Duplicating:
This expense is for “in-house” duplicating and reproducing. The duplicating is internal and routine, usually for small office jobs. This can include the tobacco program’s share of your agency’s copy machine usage. It can also include copier maintenance agreements, copier supplies such as paper, toner, etc. (Duplicating supplies such as paper, and toner may be included in either the Office Supplies Line Item or the Duplicating Line Item, but should not be included in both.)

d) Communications:
- This expense refers to installation and any monthly charges related to the telephone system including FAX line costs.
- Cellular phones and monthly access fees are **not** authorized for this contract.
- Pagers and monthly fees may be authorized. Pagers will be considered on an individual basis and is dependent upon the need of the applicant and approval of CDHS/TCS.
- All STAKE grantees are required to obtain and maintain an active account for the STAKE Act web site.

Add Items a) - d) to compute the Total General Expenses.

4) Printing:

Include expenses for printing and reproduction; this is usually for larger jobs completed by outside vendors (e.g., brochures, leaflets, posters, forms, etc.)

5) Equipment Rental:

List all rental equipment, quantify each item, and provide for each item the monthly rental rate, number of rental months, and the approximate dollar amount. Examples of rental items are computer and office equipment. *Rental Equipment will be authorized on a case-by-case basis.*

NOTE: Renting/leasing to own, purchase/leaseback, and lease/purchase of equipment is not allowed.

6) Audit Expenses:

All TCS-funded grantees are required to conduct an audit in accordance with the requirements specified in the Federal Office of Management and the Budget (OMB) Circular A-133, entitled "Audits of States, Local Governments, and Non-Profit Organizations." The Budget amount should represent the proportionate amount of this contract in relationship to your business' total revenue. For example, if this contract represents ten percent of your business' total revenue, then this contract would be responsible for no more than ten percent of the total annual audit costs. In your justification, provide the dollar amount allocated for the audit, how you arrived at this figure, the percentage this contract represents of your business' total revenue and identify the FY in which you operate (e.g., July 1 through June 30). **When combined, this Audit Expense Line Item plus the Indirect Expenses line item must not exceed 25 percent of your Total Personnel Expenses (Personnel Costs plus Fringe Benefit Line Item amounts).** Applicants choosing not to allocate funds for audit purposes must provide a written justification indicating how they intend to comply with the audit requirement.

7) Continue to add Line Items if needed, numbering sequentially following Audit Expenses. **Please list them individually and be specific.** Provide enough information to justify each additional line item.

   Total Operating Expenses: Add all Operating Expense Line Items in order to compute the Total Operating Expenses.

d. Equipment Expenses

   Due to the limited availability of funds for this RFA, there will be no equipment approvals for this RFA process. Therefore, place a $0 in the equipment category in the budget justification.

e. Travel/Per Diem and Training

   Travel and training are to be consistent with the needs of the tobacco control project and supportive of the SOW. **Travel is reimbursed at the current State Department of Personnel Administration (DPA) rates. See Appendix I, Travel Reimbursement Information. Additionally, State funds may not be used for out-of-state travel, per diem and training/conferences without prior written approval by CDHS/TCS.**

   NOTE: The following numbered line items must appear in every Budget Justification in the order presented here. If there are no expenses related to one of these line items, enter zero.

   1) Project Travel/Training:

      a) Project Travel: Includes airfare, meals, lodging, incidental expenses and mileage which are necessary to implement your SOW (e.g., to conduct youth recruitment event, attend local meetings or trainings, etc.). Provide the approximate dollar amount requested for project travel that is directly related to completion of the SOW.

b) Project Training: Includes registration fees for staff development or any other additional training events for professional, clerical, administrative personnel, advisory board members, youth volunteers, committee members, etc., necessary for the completion of activities in the SOW. Training may include courses on computer software, meeting facilitation, planning, leadership, etc. Provide the dollar amount requested for project training costs that are related to completion of the SOW.

2) Optional CDHS/TCS Travel/Training:

General Description:

Number of Trainings/Conferences: CDHS/TCS and its statewide contractors (e.g., TALC, The Center, CYAN, and others) may conduct 2-4 trainings/conferences each year.

These trainings/conferences are specifically directed toward TCS-funded projects, provide opportunities for project staff to learn from national, state, and local experts regarding evaluation, media, and advocacy, and are a means to be connected to California's larger tobacco control movement.

Length of Trainings/Conferences: Each training/conference is usually 1-2 days.

Training Sites: Each training is generally offered only once. Occasionally, trainings are offered twice: one in Northern California (generally Bay Area or Sacramento counties) and one in Southern California (generally Los Angeles, Orange, or San Diego counties).

a) Trainings/Conferences by CDHS/TCS and Statewide Contractors:

It is recommended that you budget for one staff to attend 1-2 TCS trainings per fiscal year (FY) at $750 per person. Over the next three years, trainings may include the following topics:

- Harm Reduction
- LLA Guidelines Technical Assistance Meeting in FY 06/07 (spring 2007)

3) Required CDHS/TCS Travel/Training

   a) <u>Project Directors' Meeting (PDM)</u>: This event (generally every 18 months) is typically a four day conference for 2-3 program and evaluation staff. Budget this expense in FY 2004-05 (Spring 2005) and FY 2005-06 (Spring 2006). *The PDM is expected to be held in the Spring of 2005 in Sacramento, California.*

      Budget $1,200 per person ($1,000 for travel/per diem and $200 for registration) for a maximum of two program staff to attend.

   b) National Conference on Tobacco or Health ***(optional)***

      Agencies budgeting for this conference must be session presenters at the conference in order to attend. Agencies must submit to CDHS/TCS the documentation from the National Conference Committee to verify agency participation.

      Budget $1,400 per person ($1,100 travel/per diem and $300 registration) for 1-2 program staff to attend the National Conference in FYs 2004-2005. The 2004-2005 National Conference on Tobacco or Health will be held in Chicago, Illinois on May 4-6, 2005.

f. Subcontracts and Consultants

   Note: Item 1) must appear in every Budget Justification. If there are no expenses related to this Line Item, please enter zero.

   1) Mini-Grants provide a flexible funding mechanism that allows for quick response to opportunities within the community. Mini-Grants can be awarded for amounts not to exceed $5,000 and are for operating expenses and temporary help only. Mini-Grants must be used for activities that support the CDHS/TCS priority areas. Provide a brief description of the areas that mini-grants might cover, the dollar amount, and estimated number of mini-grants to be awarded for the contract term.

      The concept of mini-grant awards in the RFA will be reviewed by the assigned application reviewers.

   2) Subcontracts are usually for long term projects needing salaried positions, indirect costs, etc. The subcontractor should provide a specialized task that is directly related to the project's activities. The subcontractor's salary should not exceed those paid to state personnel for similar positions/classifications (See Appendix H for a list of Comparable State Civil Service Classifications).

NOTE: Subcontractor Indirect Costs shall not exceed 25 percent of their Personnel Expenses (Personnel Costs plus Fringe Benefit line item amounts).

The concept of subcontracts in the RFA will be reviewed by the assigned application reviewers. If approved and prior to reimbursement, CDHS/TCS must review and approve subcontract agreements costing $5,000 or more. Refer to Chapter 600 of the Competitive Grantees Administrative and Policy Manual for more information.

List the subcontract(s) that will provide a specialized task that is directly related to the project's activities. Make sure the subcontractors listed in the Budget Justification are also referenced in the SOW. For each subcontractor provide the name of the individual or agency, a description of activities to be performed, period of time, and total cost for services. List each subcontract separately on the Budget Page (See Appendix F, Budget Sample).

Additionally, for each subcontractor listed, prepare and submit a separate Line Item Budget and Budget Justification using the format provided in Appendices F and G. However, a narrative that describes the activities to be performed and a budget amount may be submitted if the subcontractor is unknown at this time.

3) Consultants are individuals whose level or area of expertise relating to the project activities extends beyond that possessed by project staff. Typical services provided by a consultant is advice on programmatic issues (e.g., group facilitator, in-service training, program design and development, program evaluation, etc.) At no time should a consultant's fee exceed the fee of a comparable State civil service classification, inclusive of all costs, but excluding travel/per diem. The rate should be commensurate with the consultant's level of training, expertise, and national recognition**. Every effort should be made to negotiate the lowest possible cost**. Refer to Appendix H for a list of Comparable State Civil Service Classifications**.** If you cannot find a comparable classification on this chart, contact your assigned Contract Manager for assistance. Make sure the consultants listed in the Budget Justification are also referenced in the SOW. For each consultant, provide the consultant name, hourly rate, number of hours to be worked (e.g., per week, per month, per year, etc.), total cost, and description of activities to be performed.

   The concept of the consultants in the RFA will be reviewed by the assigned application reviewers. If approved and prior to reimbursement, CDHS/TCS must review and approve consultant agreements costing $5,000 or more. Refer to Chapter 600 of the Competitive Grantees Administrative and Policy Manual for more information.

Total Subcontracts and Consultants: Add all subcontract line item amounts to compute the Total Subcontracts and Consultants.

g. Other Costs

NOTE: Items 1) - 5) below must appear in every Budget Justification in the order presented here. If there are no expenses related to one of these line items, enter zero.

Refer to Policy Section, Section II, Chapter 300, for more information on educational materials, promotional items and incentives.

1) Educational Materials:

Includes the purchase of brochures, pamphlets, posters, curriculum, training guides, videos, slides, flip charts, CD-ROMs, etc., necessary for program activities.

NOTE: Do not itemize; use broad categories and estimates only.

2) Promotional Items:

These are miscellaneous items provided to individuals in order to generate visibility and interest, increase public awareness, and to promote attitudes which support tobacco control activities in the community, (e.g., buttons, key chains, stickers, posters, inexpensive visors, etc.). The intent of the bumper sticker is not to facilitate behavior change, but to generate interest and enthusiasm for the program.

Make sure the promotional items listed in the Budget Justification are also referenced in the SOW. Provide a list of promotional items and total budgeted amount.

NOTE: Do not itemize or give detail of quantity, cost or subtotal for each item. Only provide a list of items and the total budgeted amount. These are only estimates.

3) Incentives: *(not to exceed $50 per participant per year. Maximum does not apply to stipends paid to youth volunteers participating in CDHS/FDB investigations who receive the $5.00/store or $30.00/day minimum compensation - see number 5), Page 52).*

These are awards provided to intervention participants to reinforce a positive behavior change. **Cash awards and rewards are not permitted.** Incentives are not to exceed $50 worth of merchandise per person per year. Make sure the incentive items listed in the Budget Justification are also referenced in the SOW. List incentive items and total budgeted amount.

4) Media:

This line item may include the development, purchase, or placement of public service announcements (PSAs), paid advertisements on radio, television, newspaper, magazines, billboards, bus shelter ads, organizational newsletters, and neighborhood advertising papers. Development of PSAs, radio, television, and print advertisements may be budgeted either in this line item or in the Subcontracts and Consultants category, but should not be in both. List the types of planned media that supports activities in the SOW and the total budgeted amount. Make sure the media, public relations, and advertising items listed in the Budget Justification are also referenced in the SOW.

5) Stipends:

Use this line item to budget for the stipends to be provided to youth decoys: $5.00 per store, $30 per day for fieldwork minimum and $5-$15 per day for food (in the form of restaurant coupons or stipends).

6) Additional Expenses:

Please list them individually and be specific. For example, facility fees for renting a meeting room to conduct a training or renting a booth at a health fair, etc. Provide enough information to justify each additional line item. Make sure the additional line items listed in the Budget Justification are also referenced in the SOW.

Total Other Costs: Add all Other Costs Line Items in order to compute the Total Other Costs.

h. Indirect Expenses

Indirect Expenses are costs that are not directly associated with the project's deliverables. Examples of Indirect Expenses are: management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs, and any expenses related to the mandatory annual Financial and Compliance audit.

Provide a list of all Indirect Expenses charged to this grant and the dollar amount requested. **Indirect Expenses CANNOT EXCEED 25 percent of the Total Personnel Expenses (Personnel Costs plus Fringe Benefits).**

NOTE: Costs associated with the annual Financial and Compliance Audit may either be budgeted in this Line Item or budgeted in the Audit Expense Line Item under Operating Expenses. If audit costs are budgeted in the Audit Expense Line Item, the Audit Expense Line Item plus Indirect Expenses Line Item must not exceed 25 percent of the TOTAL PERSONNEL EXPENSES (Personnel Costs plus Fringe Benefit Line Item amounts).

Total Expenses: Add Items a. to h. to Compute Total Expenses.

Evaluation Synopsis

Provide a brief synopsis after Total Expenses on the five percent minimum requirement for evaluation activities. Include the following in the evaluation synopsis:

a. A list of all line items in each category that will have any evaluation expenses.

b. The dollar amount of the evaluation expenses per budget category.
c. The total amount budgeted for evaluation.

d. Consider the following factors when determining the evaluation Budget:

1) At least five percent of a lead staff person's time is required to oversee and coordinate the evaluation activities;

2) Any operating expenses (such as duplicating, posting on PARTNERS, etc.) related to the evaluation activities.

Budget Page Instructions

a. General Budget Page Instructions

The Budget is a summary of the expenses described in the Budget Justification. It must be realistic, cost-effective, and appropriate to the proposed SOW. The Budget is the controlling mechanism for expenditures and the basis for approval of invoices.

Using the format provided in Appendix F, Budget Sample, transfer the figures from the Budget Justification for each of the FY(s) within the RFA period. Only use whole numbers and round to the nearest dollar. Once approved, the Budget will be incorporated into the contract. Again, it is imperative that you carefully budget the expenses for each FY(s) as accurately as possible.

b. Budget Page Format

The Budget consists of eight (8) categories:

- Personnel Costs;
- Fringe Benefits;
- Operating Expenses;
- Equipment Expenses;
- Travel/Per Diem and Training;
- Subcontracts/Consultants*;*
- Other Costs; and,
- Indirect Expenses.

The Budget will consist of three columns. See Appendix F, Budget Sample.

The Subcontracts/Consultants and Other Costs categories may contain several Line Items with associated costs. Each Line Item within these two categories must be itemized in the Budget Justification and on the Budget page.

Additionally, for each subcontractor listed, prepare and submit a separate Budget and Budget Justification using the format provided in Appendices F and G. The subcontractor's Line Item Budget must follow the same format and instructions as the prime Budget Justification and Budget page. The concept of the subcontracts in the RFA will be reviewed by the assigned application reviewers. If approved and prior to reimbursement, CDHS/TCS must review and approve subcontract agreements costing $5,000 or more. Refer to Section I, Chapter 600, of the Competitive Grantees Administrative and Policy Manual for more information.

9. ADDITIONAL REQUIRED FORMS

The following documents require Completion/Signature by the person authorized to bind the application agency.

1. Drug Free Workplace Certification (Attachment 6)

2. Agency Documentation Requirements (Attachment 7)

3. Proof of Non-Profit Status (No Attachment)

4. Certification of Non-Acceptance of Tobacco Funds (Attachment 8)

V. TABLE OF CONTENTS FOR ENCLOSED ATTACHMENTS

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2. Application Checklist 57

3. Table of Contents 58

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7. Agency Documentation Requirements 67

8. Certification of Non-Acceptance of Tobacco Funds 69

ATTACHMENT 1

COVER SHEET:
RFA TCS 04-102 Youth Recruitment for Tobacco Control Law Enforcement Activities

1. Applicant Information:

   Applicant Name ____________________

   Project Name ____________________

   Mailing Address ____________________

   City/State/Zip ____________________

   County ____________________

   Contact Person ____________________

   Telephone (_____)____________________ Fax (_____)____________________

   E-Mail____________________

   Federal Taxpayer Identification Number ____________________

2. Term of Grant: From 07/01/04 to 06/30/07

3. Total Budget Amount Requested ____________________

4. Contract Recruiting Area: ____________________

5. The undersigned hereby affirms that the statements contained in the application package are true and complete to the best of the applicant's knowledge and accepts as a condition of a grant, the obligation to comply with the applicable state and federal requirements, policies, standards, and regulations. The undersigned recognizes that this is a public document and open to public inspection. Person authorized by the Board to sign (e.g., Board of Directors, Superintendent of Schools, etc):

Signature
of Agency Representative ____________________ Date____________

Print Name and Title____________________

APPLICATION CHECKLIST

The following attachments and components must be completed and submitted in the order shown here. Applications that are missing any of these attachments or components will be considered non-compliant and will not be reviewed. Please note that you are not required to submit the Application Checklist.

Attachments and Components	Check Mark
• One Original Application	____________
• Seven (7) copies of the Application	____________
➢ • Application Cover Sheet (Attachment 1)	____________
• Application Checklist (Attachment 2)	____________
• Table of Contents (Attachment 3)	____________
• Narrative – (No Attachment, 10 page limit)	____________
• Coordination	
• Communication and Collaboration (2-page maximum)	____________
➢ • Acknowledgement of Communication with CDHS/TCS Funded Projects Form (Attachment 4)	____________
• Applicant Capability – (No Attachment, 10 page limit, not including Letters of Reference)	
• Program/Evaluation Experience	____________
• Administrative/Fiscal Experience	____________
• Equipment	____________
• Letters of Reference (3 required)	____________
• Scope of Work and Evaluation (Attachment 5)	____________
• Budget Justification (No Attachment)	____________
• Budget (No Attachment)	____________
➢ • Drug-Free Workplace Certification (Attachment 6)	____________
➢ • Agency Documentation Requirements (Attachment 7)	____________
• Proof of Non-Profit Status (No Attachment)	____________
➢ • Certification of Non-Acceptance of Tobacco Funds (Attachment 8)	____________

NOTE: ➢ DENOTES THE DOCUMENT REQUIRES THE SIGNATURE OF THE TOBACCO CONTROL PROGRAM DIRECTOR COMPLETING THE FORM.

TABLE OF CONTENTS

PAGE

1. Narrative ....
2. Coordination ....
3. Applicant Capability ....
4. Scope of Work and Evaluation ....
5. Budget ....
6. Budget Justification ....
7. Drug-Free Workplace Certification ....
8. Agency Documentation Requirements ....
9. Proof of Non-Profit Status ....
10. Certification of Non-Acceptance of Tobacco Funds..

ACKNOWLEDGEMENT OF COMMUNICATION FORM

For California Department of Health Services, Tobacco Control Section
Youth Recruitment for Tobacco Control Law Enforcement Activities RFA (TCS 04-102) Application

Applicant Agency: Copy this form and send it to TCS LLAs to complete. Completed forms must be included in your application package.

TO: ____
Project Director

____
Agency Name

Agency Classification: ❑ Local Lead Agency
❑ Statewide Project ❑ Competitive Grantee ❑ Other

FROM: ____
Applicant Agency Representative

____
Applicant Agency Name, phone and fax number

Dear Project Director:
Please check the boxes below that are most applicable to your project, sign, and return this form to the applicant agency immediately. Thank you.

❑ **Yes**, there was adequate communication with the applicant agency identified above to plan for coordination and/or collaboration related to youth recruitment, and the following checked boxes apply to my agency:

- ❑ My program (or agency) has a youth coalition.
- ❑ My program (or agency) conducts youth tobacco purchase surveys.
- ❑ My program (or agency) currently works with or has worked with youth groups.
- ❑ A member of my coalition/agency works with youth groups.
- ❑ I have a good relationship with someone at a youth oriented agency.
- ❑ I have no experience working with or access to youth organizations.

❑ **No**, there was not adequate communication with the applicant agency to plan for coordination and/or collaboration related to youth recruitment.

Signature: ______________________________ Date: ____________________

Print Name: ______________________________ Phone No.: (___)____________

Note: "*" activities are mandatory per TCS RFA 04-102. Additional activities may be added at discretion of applicant

Exhibit A

ATTACHMENT 5

Scope of Work

AGENCY NAME:
GRANT NUMBER:

Project Name:	**Revision Date:**				**Report Period:**		
						For Progress Report Use Only	
Objectives/Activities/Evaluation	**©**	**%**	**Start/ End Date**	**Who Is Responsible**	**Tracking Measures**	**Document Number/ Letter**	**Actual Date(s) Completed**
Priority Area: Reduce Availability of Tobacco Products							
Objective 1: *"By June 30, 2007, develop and maintain an ongoing youth recruitment and outreach program that organizes a minimum of ____ (insert actual number) youth between the ages of 15-16 years old to participate in tobacco sales surveys and enforcement activities within the ____ (i.e., Northern or Southern) California Contract Recruiting Area. CX #3.1.1".*							
Coordination/Collaboration Activities							
1. *Participate in 1-3 meetings or teleconferences annually with CDHS Food and Drug Branch (CDHS/FDB) investigators, CDHS/TCS staff, and Behavioral Health Institute (BHI) staff to discuss youth recruitment strategies, activities, and youth access issues. CDHS/TCS and CDHS/FDB will facilitate calls.							
2. *Participate in 2-3 CDHS/ TCS funded trainings per year (including the Project Directors' Meeting) that address working with youth, youth recruitment strategies, and youth access to tobacco issues.							
3. *Conduct outreach and nurture relationships with each LLA, competitive grantee, Penal Code 308(a) enforcement agencies and significant youth organizations in the Contract Recruiting Area. Promote the STAKE Act program and recruiting needs on an ongoing basis at 2-4 regularly scheduled monthly meetings, teleconferences and/or other opportunities, for a minimum total of 24 meetings per year.							
4. *Communicate with Contract Recruiting Area CDHS/FDB agents via phone or e-mail on a monthly basis to ascertain and track youth recruitment requirements, recruit performance, hours worked by youth (labor law control), need for materials, food coupons, etc.							
5. *If applicable, conduct monthly status meetings with field staff, subcontractors or cooperative/partner community groups to track progress of recruiting efforts, provide technical assistance, ascertain training needs, and recommend improvements. Take action as necessary to ensure youth recruitment requirements are fulfilled.							
6. *Contact Rogers & Associates and the California Youth Advocacy Network (CYAN) on a quarterly basis to obtain the schedules of Team O2 Van appearances and other youth events. Post the schedules on the STAKE Act Web site and include in mailings to youth recruits.							
7. *Maintain and update current list of Department of Motor Vehicles (DMV) branches in the region on an annual basis and include list in recruit application packet.							
8. *Monitor, maintain and respond to messages left on the toll-free telephone hotline and Web site on a daily basis.							

Project Name:				Revision Date:		Report Period:	
						For Progress Report Use Only	
Objectives/Activities/Evaluation	©	%	Start/ End Date	Who Is Responsible	Tracking Measures	Document Number/ Letter	Actual Date(s) Completed
9. *Mail out application packets to youth on a weekly basis. Packets will include materials necessary to register youth into the STAKE Act youth decoy program, including: an application form, parental and medical consent forms, release of liability form, "Refer-a-Friend" form, instructions requesting birth certificate, DMV photo identification, and information about the recruiting agency and other tobacco control youth-related program opportunities, such as Team O2 events, CYAN, Friday Night Live (FNL), etc.							
10. *Using a "recruit application in-processing check-off tool," process incoming recruit applications and check for completeness on a daily basis. Ensure applications include a copy of DMV photo ID, birth certificate, school address (including cross street), phone number to reach youth, and address(es) of both parents (if divorced) of youth.							
11. *Conduct follow-up telephone calls with potential youth recruits for missing application information, to ascertain youth's eligibility, and advise youth of application acceptance. Prescreen all youth recruits to determine that they meet program qualifications, to include: a youthful appearance, the ability to follow directions, possess good math and communication skills, possession of or ability to obtain DMV photo ID, have no history of violent crimes or felony offenses or chronic discipline problems, are available weekday afternoons and early evenings as determined by CDHS/FDB, and have an understanding of the intermittent and enforcement nature of decoy operations. During the interview process, provide information about other youth opportunities, such as LLA youth coalitions, CYAN, and tobacco control youth-related events.							
12. *Mail welcome/confirmation packets to youth applicants congratulating them on their acceptance into the STAKE Act program. Include a description of the sporadic nature of STAKE Act youth decoy operations and what youth can expect; tips for working successfully with CDHS/FDB, rewards of service; payment information regarding youth recruit work; a certificate of appreciation; appropriate gift certificate incentive; "Refer-a-Friend" forms; background information about the recruiting agency; and information about other tobacco control program opportunities, such as LLA youth coalitions, CYAN, FNL, Team O2 events, etc.							
13. *Provide youth throughout the Contract Recruiting Area with assistance in obtaining their DMV photo ID card, including $20 payment per card, on an as-needed basis.							
14. *Fax or overnight recruit data packets to CDHS/FDB investigators on a daily basis. Packets are to include parental permission/release of liability forms, copy of DMV photo ID, copy of birth certificate, completed screening form, medical consent form, and other appropriate documentation. Information should include youth's residence (for both parents if divorced), telephone contact information, and school address with cross street.							
15. *Maintain a youth recruitment database with Microsoft Access 2000 and DataSafe software on a weekly basis: enter new recruits, inactivate "phase out" recruits 30 days prior to their 17th birthday, enter applicable tracking data (work dates, stipends, mailings, appreciation letter, referrals, incentives, etc.,). E-mail youth recruit data and mail documentation to BHI on a monthly basis, and discuss maintenance of database with BHI on an "as needed" basis..							
16. *On a daily basis, maintain and file applications in a manner that will protect confidentiality of youth recruits.							

Project Name:				Revision Date:		Report Period:	
Objectives/Activities/Evaluation	**©**	**%**	**Start/ End Date**	**Who Is Responsible**	**Tracking Measures**	**For Progress Report Use Only** Document Number/ Letter	**Actual Date(s) Completed**
17. *Recruit and maintain the required minimum number of ___ youth age 15-16 years old of the appropriate ethnicity who are available and ready to participate in tobacco retail enforcement activities and sales surveys as prescribed in TCS RFA # 04-102, Appendix A, for ___ county.							
*(Repeat activity # 17 for each county in your Contract Recruiting area.)							
18. * If requested, provide BHI with assistance in securing youth recruits for participation in the annual California Youth Tobacco Purchase Survey.							
19. *Post quarterly announcements regarding youth recruitment activities on PARTNERS Strategy Exchange.							
Community Education Activities							
1. *Conduct a minimum of 24 youth recruitment presentations annually, 10-30 minutes in length, regarding the STAKE Act program, illegal tobacco sales to youth, and decoy operations to community-based youth organizations such as YMCA's, Boys and Girls Clubs, Friday Night Live, church groups, youth coalitions and other groups that work with youth in the Contract Recruiting Area. Coincide recruiting efforts with Team O2 appearances and other youth-related organized tobacco control events, such as the CYAN annual youth summit, whenever possible. The STAKE Act program, benefits of recruit service and application process will be presented, and applications, brochures, and promotional items will be distributed.							
School-based Education Activities							
1. *Conduct a minimum of 24 youth recruitment presentations annually (in addition to the 24 presentations listed separately under the "Community Education Activities" category), 10-30 minutes in length, regarding the STAKE Act Program, illegal tobacco sales to youth and decoy operations to high schools and school-based events and organizations such as Key Clubs, California Scholarship Federations, National Honors Societies, Peer Assistance Leadership clubs, Reserve Officer Training Corps (ROTC), Regional Occupation Programs (ROP), and other on-site school organizations throughout the Contract Recruiting Area. Coincide recruiting efforts with Team O2 appearances and other youth-related organized tobacco control events whenever possible. The STAKE Act program, benefits of recruit service and application process will be presented and applications, brochures, and promotional items will be distributed.							
Training/Technical Assistance Activities							
1. *Provide 1-2 trainings, 30-60 minutes in length, to all staff (and if applicable, subcontractors, and/or collaborative recruiting partner agencies) annually throughout the Contract Recruiting Area. The training will include recruitment techniques, an overview of the STAKE Act youth recruiting program, CDHS/FDB STAKE Act field inspection practices, form requirements, obtaining DMV photo ID, CDHS/TCS, child labor laws, other youth programs and activities, the benefits of recruit service, and other relevant information. Training curriculum from previous STAKE Act trainings will be updated annually.							

Project Name:	Revision Date:				Report Period:		
						For Progress Report Use Only	
Objectives/Activities/Evaluation	©	%	Start/ End Date	Who Is Responsible	Tracking Measures	Document Number/ Letter	Actual Date(s) Completed
2. *Provide 10-20 hours of technical assistance on an as needed basis annually to field staff, (and if applicable, subcontractors and/or collaborative recruiting partner agencies) regarding youth recruiting and the STAKE Act program.							
Media Activities							
1. *Create 1-3 radio ads, 30-60 seconds in length, targeting 15-16 year olds, including, if appropriate, ethnic populations, and place semi-monthly or quarterly at a minimum of __ (#) radio stations that cater to the targeted youth listeners ages 14-16, for a total airtime purchase of ____(#) airings throughout the Contract Recruiting Area. Ads will include STAKE Act phone and Web site information, and will be focus group tested and modified as needed before placement. TECC will be contacted to determine if materials currently exist that could be used or modified.							
2. *Create 1-3 youth recruitment print ads targeting 15-16 year olds, including, if appropriate, ethnic populations, and place semi-monthly or quarterly in ____ (#) community or high school newspapers, Web sites, bulletin-board postings or other youth oriented publications, including appropriate ethnic publications. Ads will include STAKE Act phone and Web site information, and will be focus group tested and modified as needed before placement. TECC will be contacted to determine if materials currently exist that could be used or modified for use.							
3. *Regularly maintain, update, and coordinate with other CDHS/TCS-funded youth recruiting agencies the STAKE Act youth recruitment Web site (www.STAKEACT.com or www.STAKEACT.org). Update program information and Application Forms that can be completed on-line or downloaded for submission. Web site will contain information regarding the STAKE Act program, opportunities for other tobacco control youth-related program participation such as CYAN, LLAs, FNL, etc., and links to other tobacco control related Web sites. Web site should be an inclusive resource of information for youth. Web site address will be included in all advertising, promotional materials and business cards that will be available at all recruiting events. Web site will be monitored on a weekly basis for e-mails, submitted applications, etc.							
Educational Materials Development							
1. *Review and update STAKE Act recruitment materials targeting youth ages 14-16 such as 1-3 page pamphlets and brochures. TECC will be contacted for current materials, and newly developed materials will be focus group tested and modified as needed. The CDHS/TCS STAKE Act logo will be incorporated in all materials. Distribute a minimum of 1,000-2,000 to youth at high school and community youth events and to youth organizations throughout the Contract Recruiting Area during the contract period.							
2. *Review and update if necessary STAKE Act youth recruitment application packets annually, to include application form, parental consent form, youth consent form, release of liability, medical release form, recruiting agency backgrounder, DMV photo ID application form and directory, STAKE Act decoy participation instructions, and other relative STAKE Act program information. Ensure materials request copy of current DMV photo ID of youth, addresses and phone numbers of both parents (if divorced) address and cross street of school, youth cell phone and/or pager numbers, and e-mail address.							

Project Name:	Revision Date:				Report Period:		
Objectives/Activities/Evaluation	**©**	**%**	**Start/ End Date**	**Who Is Responsible**	**Tracking Measures**	**For Progress Report Use Only** Document Number/ Letter	**For Progress Report Use Only** Actual Date(s) Completed
Mini-Grant Activities							
Incentive Items							
1. *Distribute 200 - 500 incentive items, such as movie passes and gift certificates, to youth who complete and return all required paperwork and "Refer-a-Friend" forms throughout the Contract Recruiting Area during the contract period. Forms and incentives will be tracked to ensure incentives are kept at a maximum of $50 per youth, per year.							
2. *Provide stipends of $5 per store and meal coupons of $5-$15 per day for food to youth performing STAKE Act fieldwork within two weeks of their completing CDHS/FDB inspections.							
3. *Provide letter of appreciation/commendation or recommendation and certificate of achievement to youth that participated in CDHS/FDB STAKE Act inspection operations within two weeks of completing fieldwork.							
Promotional Items							

*** Indicates Mandatory Activity** + On file in office Page_5_of_5_

Exhibit A

ATTACHMENT 5

Scope of Work

Instructions

AGENCY NAME:
GRANT NUMBER:

Project Name:	**Revision Date:**				**Report Period:**		
						For Progress Report Use Only	
Objectives/Activities/Evaluation	**©**	**%**	**Start/ End Date**	**Who Is Responsible**	**Tracking Measures**	**Document Number/ Letter**	**Actual Date(s) Completed**
Priority Area: State the priority area: Reduce Availability of Tobacco Products.							
In outline format, state an objective and following each objective, describe the intervention to be implemented to achieve the objective. Immediately following the description of the intervention activities, describe the process evaluation plan. **Outcome Objective:** The objective should be measurable and clearly identify the expected result or outcome, stating how much change will occur, for what target group, when the objective will be met and what location. A good objective is measurable, quantifiable, and time limited. Indicate that the CX indicator "3.1.1" is being addressed by placing it at the end of the objective. *Example:* "By June 30, 2007, develop and maintain an ongoing youth recruitment and outreach program that organizes a minimum of 208 youth between the ages of 15-16 years old to participate in tobacco sales surveys and enforcement activities within the Northern California Contract Recruiting Area. CX #3.1.1". A. *Intervention Categories*: Group activities under major intervention categories: Coordination/Collaboration; Community Education; School-based Education; Training/Technical Assistance; Media; Educational Materials Development; Mini-Grants; Incentive Items; Promotional Items, with activities listed chronologically within each category. Note: This RFA will not include Policy or Sponsorship activities. 1. *Intervention Activities*: Use an outline format to describe the activities to be conducted to achieve the objective. Describe the planning, collaboration, educational, media and training activities used to achieve the objective. List activities within each category in chronological order. The description should include the target group, what will be done, and how much will be done. This should include the steps, methods and strategies to educate and mobilize the community. The intervention may include: meetings, presentations, trainings, advertisements, materials development, etc. *Example: Conduct 2-4 annual presentations,10-20 minutes in length, on youth recruitment to law enforcement, youth, parents and other interested parties in Comstock county. Topics to be addressed will include the problem of illegal sales of tobacco products, enforcement of tobacco control laws, and the need for youth recruits.* *Process Evaluation Activities*: Describe the tracking and data collection instruments, sample size, methodology, analysis, and dissemination of results.	Indicate if the activity involves develop-ment of a product such as a brochure, poster, ad, manual, etc. for which there should be a copyright by placing the sign "©".	For each program deliver-able, indicate a percent between 0.5% and 100% that reflects the value or percent of effort by staff and budget. Total %s assigned may not be less than or greater than 100%.	List the progress report periods during which each program and evaluation activity is expected to start and end. The progress report periods are: 07/04-12/04 01/05-06/05 07/05-12/05 01/06-06/06 07/06-12/06 01/07-06/07	Identify who is responsible for conducting or participating in the major activities. This may include staff, coalition members or community volunteers, evaluation consultant, etc. Please list the position title. If using acronyms, please indicate what the acronym stands for.	Describe the tracking measures that document that the process oriented activities were completed. Examples of tracking measures include: sign-in sheets, press releases, survey instruments, evaluation reports, etc. Some tracking measures, such as meeting notes, individual registration forms completed, and others may be kept "on file in office." Place a plus sign (+) beside the tracking measure you would like to keep on file in your office. <u>These items must be on file in the event of an audit</u>.		

+ On file in office

STATE OF CALIFORNIA

ATTACHMENT 6

DRUG-FREE WORKPLACE CERTIFICATION

STD. 21 (12/93)

I, the official named below, hereby swear that I am duly authorized legally to bind the prospective bidder, contractor or grant recipient to the certification described below. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

COMPANY / ORGANIZATION NAME:	
OFFICIAL'S NAME:	
DATE EXECUTED:	EXECUTED IN THE COUNTY OF:
CONTRACTOR or GRANT RECIPIENT SIGNATURE:	
TITLE:	
FEDERAL ID NUMBER:	

The firm named above hereby certifies compliance with Government Code Section 8355 in matters relating to providing a drug-free workplace. The above named contractor or grant recipient will:

1. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a).

2. Establish a Drug-Free Awareness Program as required by Government Code Section 8355(b), to inform employees about all of the following:

   (a) The dangers of drug abuse in the workplace,

   (b) The person's or organization's policy of maintaining a drug-free workplace,

   (c) Any available counseling, rehabilitation and employee assistance programs, and

   (d) Penalties that may be imposed upon employees for drug abuse violations.

3. Provide as required by Government Code Section 8355(c), that every employee who works on the proposed contract or grant:

   (a) Will receive a copy of the company's drug-free workplace policy statement, and

   (b) Will agree to abide by the terms of the company's statement as a condition of employment on the contract or grant.

At the election of above named firm, from and after the "Date Executed" and until _____ (not to exceed 36 months), the Department of Health Services (DHS) will regard this certificate as valid for all contracts or grants entered into between the above named firm and DHS without requiring the above named firm to provide a new and individual certificate for each contract or grant. If the above named firm elects to fill in the blank date, then the terms and conditions of this certificate shall have the same force, meaning, effect and enforceability as if a certificate were separately, specifically, and individually provided for each contract or grant between the above named firm and DHS.

AGENCY DOCUMENTATION REQUIREMENTS

The California Department of Health Services (CDHS) may audit contracts at any time. The documentation required for each audit may typically include, but is not limited to the following:

Fiscal Records

A. General Ledger, Journals, and Charts of Accounts
B. Cash Receipts and Disbursements Journal with Supporting Documents
C. Vendor Invoices to Support Expenditures
D. Program Remittance Advices from State Controller
E. Payroll Records, including, but not limited to personnel time sheets signed/dated by the employee and supervisor reflecting actual time worked on program.
F. Travel Log, Employee Expense Claims and appropriate receipts
G. Billing Records (Program Log)
H. State and Federal Tax Withholding Records
I. Financial Statements and Independent Auditor's of County Auditor's Report
J. Computation of the Fringe Benefit of Fund Sources
K. Agency wide Budget and Listing of Fund Sources
L. Copies of Monthly Invoices to the State
M. Copies of Reimbursement Warrants and Remittance Advices from the State
N. Administrative Manuals such as Personnel Policies and Procedures, Travel Policies and Procedures

Program Records

A. Project Application (submitted in response to this RFA)
B. Contract and Contract Amendments
C. CDHS/TCS Competitive Grantee Administrative and Policy Manual
D. Progress Reports and the Final Report
E. Program Audit Reports of Site Visits
F. Scope of Work, Parts I and II
G. Correspondence Regarding the Contract and/or Subcontracts
H. Program implementation records that document the number of people served, materials developed activities conducted, etc. These records may include, but are not limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc.

Other Records

A. Board of Director's Minutes and Articles of Incorporation
B. Non-Profit Approval Letter/Certification
C. Organization Chart (Agencywide) and Duty Statements
D. Program Correspondence Files
E. Other Program Audits of the Facility

AGENCY DOCUMENTATION REQUIREMENTS

I certify that the above will be available upon request by CDHS/TCS Program/Contract Manager and/or Auditors.

Director of Agency:		Agency Financial Management Official:	
Signature	Date	Signature	Date
Print Name and Title		Print Name and Title	

ATTACHMENT 8

CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO FUNDS

____
Company/Organization Name

____

Please check one of the following:

- ☐ The applicant named above hereby certifies that it will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

- ☐ <u>University/Colleges Only</u>
  The Principal Investigator of the university or college named above hereby certifies that he/she has not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the grant period. In addition, the Principal Investigator of the university or college named above hereby certifies that he/she will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

Director of Agency or Principal Investigator:

__________________________________ __________________________________
Signature Date Print Name and Title

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Youth Recruitment Requirements by Contract Recruiting Area
For STAKE Act Enforcement and Surveillance Activities

NORTHERN REGION
Total Youth Required: 208

County	Number Of Youth Recruits	Ethnic Representation
Alameda	18	AA; C; H/L
Alpine	2	C
Amador	2	C
Butte	3	C
Calaveras	2	C
Colusa	2	C
Contra Costa	8	AA; C; H/L
Del Norte	2	C
El Dorado	3	C
Fresno	12	API; C; H/L
Glenn	2	C
Humboldt	3	C
Inyo	2	C
Kern	5	C; H/L
Kings	2	C
Lake	2	C
Lassen	2	C
Madera	3	C; H/L
Marin	3	C
Mariposa	2	C
Mendocino	3	C
Merced	3	C; H/L
Modoc	2	C
Mono	2	C
Monterey	3	C; H/L
Napa	3	C
Nevada	2	C
Placer	5	C
Plumas	2	C
Sacramento	10	C; H/L; AA
San Benito	2	C; H/L
San Francisco	18	AA; API; C; H/L
San Joaquin	10	AA; API; C; H/L
San Mateo	8	C; H/L
	CONTINUED ON PAGE 2	

County	Number Of Youth Recruits	Ethnic Representation
Santa Clara	18	API; C; H/L
Santa Cruz	3	C; H/L
Shasta	3	C
Sierra	2	C
Siskiyou	2	C
Solano	4	AA; C; H/L
Sonoma	3	C
Stanislaus	3	C
Sutter	2	C
Tehama	3	C
Trinity	2	C
Tulare	3	C; H/L
Tuolumne	2	C
Yolo	3	C
Yuba	2	C
Northern Recruiting Area	TOTAL: 208	

~~~~~~

SOUTHERN REGION
TOTAL YOUTH REQUIRED: 331

COUNTY	NUMBER OF YOUTH RECRUITS	ETHNIC REPRESENTATION
Imperial	4	H/L
Los Angeles	121	AA; API; C; H/L
Orange	56	AA; API; C; H/L
Riverside	44	AA; C; H/L
San Bernardino	42	AA; C; H/L
San Diego	30	AA; API; C; H/L
San Luis Obispo	6	C; H/L
Santa Barbara	13	AA; C; H/L
Ventura	15	AA; C; H/L
Southern Recruiting Area	TOTAL = 331	
~~~~~~

State of California

Bill Jones
Secretary of State

STATEMENT BY DOMESTIC NONPROFIT CORPORATION

Filing Fee $20.00 – If Amendment, See Instructions

IMPORTANT – Read Instructions Before Completing This Form

1. CORPORATE NAME: (Do not alter if name is preprinted.)

This Space For Filing Use Only

2. STREET ADDRESS OF PRINCIPAL EXECUTIVE OFFICE IN CALIFORNIA, IF ANY (If none, complete 3)		CITY AND STATE	ZIP CODE
3. MAILING ADDRESS		CITY AND STATE	ZIP CODE

LIST THE NAMES AND COMPLETE ADDRESSES OF THE FOLLOWING OFFICERS: (The corporation must have these three officers. The appropriate title for the officer may be added but do not alter or obliterate the form.)

4. CHIEF EXECUTIVE OFFICER/	ADDRESS	CITY AND STATE	ZIP CODE
5. SECRETARY/	ADDRESS	CITY AND STATE	ZIP CODE
6. CHIEF FINANCIAL OFFICER/	ADDRESS	CITY AND STATE	ZIP CODE

7. CHECK THE APPROPRIATE PROVISION BELOW AND NAME THE AGENT FOR SERVICE OF PROCESS:
   [ ] AN INDIVIDUAL RESIDING IN CALIFORNIA.
   [ ] A CORPORATION WHICH HAS FILED A CERTIFICATE PURSUANT TO CALIFORNIA CORPORATIONS CODE SECTION 1505.

   AGENT'S NAME:____

8. ADDRESS OF THE AGENT FOR SERVICE OF PROCESS IN CALIFORNIA, **IF AN INDIVIDUAL** CITY **CA** ZIP CODE

COMMON INTEREST DEVELOPMENT ASSOCIATION (Civil Code Section 1350, et seq.)

9. ☐ THIS CORPORATION IS NOT AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT (PROCEED TO ITEM 11)

10. ☐ THIS CORPORATION IS AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT UNDER THE DAVIS-STIRLING COMMON INTEREST DEVELOPMENT ACT. (PROCEED TO ITEM 10A AND 10B)

10A. BUSINESS OFFICE STREET ADDRESS OR PHYSICAL LOCATION OF DEVELOPMENT, INCLUDING NINE-DIGIT ZIP CODE

10B. NAME AND ADDRESS OF THE MANAGING AGENT

11. THIS STATEMENT IS TRUE, CORRECT AND COMPLETE.

TYPE OR PRINT NAME OF OFFICER OR AGENT	SIGNATURE	TITLE	DATE

SO-100 (REV. 10/2001) Approved by Secretary of State

INSTRUCTIONS FOR COMPLETING THE STATEMENT BY DOMESTIC NONPROFIT CORPORATION

Type or legibly print in black or blue ink.

Statutory filing provisions are found in California Corporations Code Sections 6210, 8210 and 9660, unless otherwise indicated.

Every **domestic corporation** shall file a statement with the California Secretary of State, within 90 days after filing of its original Articles of Incorporation, and biennially thereafter during the applicable filing period. The applicable filing period for a corporation shall be the end of the calendar month during which its original Articles of Incorporation were filed and the immediately preceding five calendar months.

FILING FEES: If this statement is the initial 90-day statement or a biennial statement, a **$20.00** filing fee must accompany this statement.
Amendment: If this statement is being filed to amend any information on a previously filed statement, and is not a biennial filing, **no fee** is required.

A corporation is required to file a statement even though it may not be actively engaged in business at the time this statement is due.

Failure to file this completed form by its due date will result in the assessment of a penalty. The penalty for domestic nonprofit corporations is $50 (California Corporations Code Sections 6810 and 8810). See also California Revenue and Taxation Code Section 19141.

For further information, contact the Statement of Officers Unit at (916) 657-3537.

- **Make check(s) payable to the Secretary of State**. Send the executed document and filing fee to:
  California Secretary of State, Statement of Officers, P.O. Box 944230, Sacramento, CA 94244-2300

- The Secretary of State will endorse file one copy of the filed statement at no additional cost, provided that the copy is submitted to the Secretary of State along with the original to be filed.

Fill in the items as follows:

Item 1. Do not alter the preprinted corporate name. If the corporation name has been changed and is not correct, please attach a statement indicating the correct name and the date the name change amendment was filed with the Secretary of State. If the space is blank, enter the **exact** corporate name and number.

Item 2. Enter the complete street address, city, state and zip code, of the principal executive office in California, if any. DO NOT enter a P.O. Box or abbreviate the name of the city.

Item 3. Enter the mailing address of the corporation.

Items 4-6. Enter the name and complete business or residence address of the corporation's chief executive officer (i.e. president), secretary and chief financial officer (i.e. treasurer). DO NOT abbreviate the name of the city. The corporation must have these three officers. An officer may hold more than one office **EXCEPT** in a nonprofit **public benefit** or **religious** corporation, neither the secretary nor the chief financial officer may serve concurrently as the president or chairman of the board (California Corporations Code Sections 5213 and 9213). Please note, unless otherwise provided in the Articles of Incorporation or Bylaws, the president, or if there is no president the chairman of the board, is the chief executive officer of the corporation. You may add a title appropriate for your corporation but, **do not alter or obliterate preprinted titles**.

Item 7. Enter the name of the agent for service of process in California. The person named as agent must be a resident of California or a corporation which has filed a certificate pursuant to California Corporations Code Section 1505. If an individual is designated as agent, proceed to Item 8. If a corporation is designated, proceed to Item 9 (do not complete Item 8). **Please Note:** A corporation cannot name itself as agent for service of process.

Item 8. If an individual is designated as the agent for service of process, enter a business or residential address in California. DO NOT enter "in care of" (c/o) or abbreviate the name of the city. DO NOT enter an address if a corporation is designated as the agent for service of process.

Civil Code Section 1350, et seq., mandates that a corporation formed on behalf of common interest development associations furnish specific additional information when filing a statement pursuant to California Corporations Code Section 1502.

Item 9. Check the box if the corporation was not formed to manage a common interest development under the Davis-Stirling Common Interest Development Act and proceed to Item 11.

Item 10. Check the box if the corporation was formed to manage a common interest development under the Davis-Stirling Common Interest Development Act.

Item 10A. Enter the business or corporate office of the association, if any. If the office is not on the site of the common interest development, state the nine-digit zip code, front street, and nearest cross street for the physical location of the common interest development.

Item 10B. Enter the name and address of the association's managing agent, if any. (Civil Code Section 1363.5)

Item 11. Type or print name and title of the officer or agent completing the form. Enter the date the form is completed.

INTERNAL REVENUE SERVICE
DISTRICT DIRECTOR
P. 0. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date:

Employer Identification Number:
xx-xxxxxxx
DLN:
xxxxxxxxx
Contact Person:
XXXX XXXXX
Contact Telephone Number:
(XXX) XXX-XXXX
Accounting Period Ending:
March 31
Foundation Status Classification:
170 (b) (1) (A) (vi)
Advance Ruling Period Begins:
January 22, 1997
Advance Ruling Period Ends:
March 31, 2001
Addendum Applies:
None

Dear Applicant:

Based on information you supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3).

Because you are a newly created organization, we are not now making a final determination of your foundation status under section 509 (a) of the Code. However, we have determined that you can reasonably expect to be a publicly supported organization described in sections 509 (a) (1) and 170 (b) (1) (A) (vi).

Accordingly, during an advance ruling period you will be treated as a publicly supported organization, and not as a private foundation. This advance ruling period begins and ends on the dates shown above.

Within 90 days after the end of your advance ruling period, you must send us the information needed to determine whether you have met the requirements of the applicable support test during the advance ruling period. If you establish that you have been a publicly supported organization, we will classify you as a section 509 (a) (1) or 509 (a) (2) organization as long as you continue to meet the requirements of the applicable support test. If you do not meet the public support requirements during the advance ruling period, we will classify you as a private foundation for future periods. Also, if we classify you as a private foundation, we will treat you as a private foundation from your beginning date for purposes of section 507(d) and 4940.

Grantors and contributors may rely on our determination that you are not a private foundation until 90 days after the end of your advance ruling period. If you send us the required information within the 90 days, grantors and contributors may continue to rely on the advance determination until we make a final determination of your foundation status.

If we publish a notice in the Internal Revenue Bulletin stating that we will no longer treat you as a publicly supported organization, grantors and contributors may not rely on this determination after the date we publish the notice. In addition, if you lose your status as a publicly supported organization, and a grantor or contributor was responsible for, or was aware of, the act or failure to act, that resulted in your loss of such status, that person may not rely on this determination from the date of the act or failure to act. Also, if a grantor or contributor learned that we had given notice that you would be removed from classification as a publicly supported organization, then that person may not rely on this determination as of the date he or she acquired such knowledge.

If you change your sources of support, your purposes, character, or method of operation, please let us know so we can consider the effect of the change on your exempt status and foundation status. If you amend your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also, let us know all changes in your name or address.

As of January 1, 1984, you are liable for social security taxes under the Federal Insurance Contributions Act on amounts of $100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the private foundation excise taxes under Chapter 42 of the Internal Revenue Code. However, you are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please let us know.

Donors may deduct contributions to you as provided in section 170 of the Internal Revenue Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Donors may dad-act contributions to you only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 104, gives guidelines regarding when taxpayers may deduct payments for admission to, or other participation in, fundraising activities for charity.

Contributions to you are deductible by donors beginning January 22, 1997.

You are not required to file Form 990, Return of Organization Exempt From income Tax, if your gross receipts each year are normally $25,000 or less. If you receive a Form 990 package in the mail, simply attach the label provided, check the box in the heading to indicate that your annual gross receipts are normally $25,000 or less, and sign the return.

If a return is required, it must be filed by the 15th day of the fifth month after the end of your annual accounting period. A penalty of $20 a day is charged when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty charged cannot exceed $10,000 or 5 percent of your gross receipts for the year, whichever is less. For organizations with gross receipts exceeding $1,000,000 in any year, the penalty is $100 per day per return, unless there is reasonable cause for the delay. The maximum penalty for an organization with gross receipts exceeding $1,000,000 shall not exceed $50,000. This penalty may also be charged if a return is not complete. So, please be sure your return is complete before you file it.

You are not required to file federal income tax returns unless you are subject to the tax an unrelated business income under section 511 of the Code. f you are subject to this tax, you must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You are required to make your annual return available for public inspection for three years after the return is due. You are also required to make available a copy of your exemption application, any supporting documents, and this exemption letter. Failure to make these documents available for public inspection may subject you to a penalty of $20 per day for each day there is a failure to comply (up to a maximum of $10,000 in the case of an annual return).

You need an employer identification number even if you have no employees. If an employer identification number was not entered an your application, we will assign a number to you and advise you of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

If we said in the heading of this letter that an addendum applies, the addendum enclosed is an integral part of this letter.

Because this letter could help us resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,

District Director

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris/Altria

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occurs

BEVERAGES

Coffee

General Foods International Coffees
Gevalia
Maxim
Maxwell House
Sanka
Starbucks*
Yuban

Frozen Treats

Mr. Freeze
Kool-Aid Slushies

Powdered Soft Drinks

Country Time
Crystal Light
Kool-Aid
Tang

Ready-to-Drink

Capri Sun*
Country Time
Crystal Light
Kool-Aid Bursts
Tang
Total Balance

Frozen Pizza

California Pizza Kitchen*
DiGiorno
Jack's
Tombstone

Hot Dogs

Oscar Mayer

Lunch Combinations

Lunchables

Macaroni & Cheese Dinner

Kraft
Kraft Easy Mac
Velveeta

Meat Alternatives

Boca

Meat Snacks

Tombstone

Pastas and Sauces

DiGiorno

CONVENIENT MEALS

Bacon

Oscar Mayer
Louis Rich

Cold Cuts

Oscar Mayer
Louis Rich

Dinner Kits

Stove Top Oven Classics
Taco Bell*

CHEESE

Cold Pack Cheese

Woody's

Cottage Cheese

Breakstone's
Knudsen
Light n' Lively

Cream Cheese

Philadelphia
Temp-tee

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris/Altria

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occurs

Grated Cheese

Kraft

Natural Cheese

Athenos
Churny
Cracker Barrel
DiGiorno
Handi-Snacks
Harvest Moon
Hoffman's
Kraft
Polly-O

Process Cheese Loaves

Kraft Deluxe
Old English
Velveeta

Process Cheese Sauce

Cheez Whiz

Process Cheese Slices

Kraft Deli Deluxe
Kraft Free Singles
Kraft Singles
Kraft 2% Milk Singles
Velveeta

Process Cheese Spread

Easy Cheese

GROCERY

Baking Chocolate/Coconut

Baker's

Baking Powder

Calumet

Barbecue Sauce

Bull's-Eye
Kraft

Breakfast Beverage

Postum

Coating Mix

Shake ‘n Bake
Oven Fry

Condiments

Grey Poupon
Kraft
Sauceworks

Cooked Cereal

Cream of Wheat

Cereal Bars

Nabisco

Dips

Kraft

Dog Biscuits

Milk-Bone

Dry Packaged Desserts

Dream Whip
D-Zerta
Jell-O
Minute

Energy Bars

Balance
Oasis Bars

Fruit Preservatives

Ever Fresh

Frozen Whipped Topping

Cool Whip

Ice Cream Topping

Kraft

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris/Altria

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occurs

Margarine

Parkay (Puerto Rico only)

Pasta Salads

Kraft

Pectins

Certo
Sure-Jell

Pickles/Sauerkraut

Claussen

Pie Crusts

Honey Maid
Nilla
Oreo

Ready-to-Eat Cereals

Post
Alpha-Bits
Banana Nut Crunch
Blueberry Morning
Cinna-Cluster Raisin Bran
Cranberry Almond Crunch
Frosted Shredded Wheat
Fruit & Fiber
Golden Crisp
Grape-Nuts
Great Grains
Honey Bunches of Oats
Honeycomb
Nabisco (Puerto Rico only)
Natural Bran Flakes
Oreo O's
Pebbles*
Raisin Bran
Shredded Wheat
Shredded Wheat 'n Bran
Spoon Size Shredded Wheat
Toasties
Waffle Crisp
100% Bran

Rice

Minute Rice

Salad Dressings

Good Seasons
Kraft
Seven Seas

Sour Cream

Breakstone's
Knudsen

Spoonable Dressing

Kraft Mayo
Miracle Whip

Steak Sauce, Marinade, Worcestershire

A. 1.

Stuffing Mix

Stove Top

Toaster Pastries

Kool Stuf

Yogurt

Breyers*
Jell-O
Light n' Lively

Snacks

Cookies
Barnum's Animals
Biscos
Café Creme
Cameo
Chips Ahoy!
Crispin (Puerto Rico only)
Dad's
Danish (Puerto Rico only)
Famous Chocolate Wafers
Family Favorites
Old Fashioned
Ginger Snaps
Hony Bran (Puerto Rico only)
Konitos (Puerto Rico only)
Lorna Doone
Mallomars

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris/Altria

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occurs

Snacks (cont.)

Marshmallow Twirls
Nabisco (Puerto Rico only)
National Arrowroot
Newtons
Nilla
Nutter Butter
Oreo
Peak Freans
Pecan Passion
Pecanz
Pinwheels
SnackWell's
Social Tea
Stella D'oro
Sweetie Pie (Puerto Rico only)
Teddy Grahams
Wild Thornberry's*

Crackers

Air Crisps
Better Cheddars
Cheese Nips
Club Social (Puerto Rico only)
Crown Pilot
Doo Dad
Flavor Crisps
Harvest Crisps
Honey Maid
Nabisco Grahams
Nabs
Premium
Ritz
Royal Lunch
SnackWell's
Stoned Wheat Thins
Sportz (Puerto Rico only)
Sultana (Puerto Rico only)
Triscuit
Uneeda
Wheatsworth
Wheat Thins
Zwieback

Ice Cream Cones

Comet Cups

Packaged Food Combinations

Handi-Snacks
Lunchables

Refrigerated Ready-to-Eat Desserts

Jell-O
Handi-Snacks

Snack Nuts

Corn Nuts
PB Crisps
Planters

Sugar Confectionery

Altoids
Callard & Bowser
CremeSavers
Jet-Puffed
Kraft Caramels
Life Savers
Milka L'il Scoops
Nabisco Fun Fruits
Terry's
Tobler
Toblerone
Trolli

Miller Brands**

Miller Beer
Miller Genuine Draft
Miller High Life
Sharp's non-alcohol brew
Milwaukee's Best
Meister Brau
Magnum Malt Liquor
Henry Weinhard's
Hamm's
Olde English 800 Malt Liquor
Mickey's Malt Liquor
Red Dog
ICEHOUSE
Southpaw
Leinenkugel
Celis
Pale Rider
Shipyard Export Ale
Goat Island Ale
Fuggles Pale Ale
Old Thumper Extra Special Ale
Blue Fin Stout
Longfellow Ale
Mystic Seaport Pale Ale
Chamberlain Pale Ale
Sirius
Prelude Ale

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris/Altria

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occurs

Miller Brands (cont.)**

Molson
Foster's Lager
Sheaf Stout
Presidente
Shanghai

Wines

Chateau Ste. Michelle
Columbia Crest
Domaine Ste. Michelle
Villa Mt. Eden
Conn Creek
Northstar
Snoqualmie

* Kraft is the distributer for these brands:

Breyers is a registered trademark owned and licensed by Unilever, N.V.
Capri Sun is a registered trademark of Rudolf Wild GmbH & Co. KG, used under license.
California Pizza Kitchen is a trademark owned and licensed by California Pizza Kitchen, Inc.
Jenny Craig is a registered trademark of Jenny Craig, Inc., used under license.
Pebbles is a registered trademark of Hanna-Barbera Productions, Inc. Licensed by Hanna-Barbera Productions, Inc.
Starbucks is a registered trademark of Starbucks U.S. Brands Corporation.
Nickelodeon and all related titles, characters and logos are trademarks owned and licensed by Viacom International Inc. All rights reserved.
Taco Bell is a registered trademark owned and licensed by Taco Bell Corp.

** Altria Group, Inc. holds a 36 percent economic interest in SABMiller plc as a result of the 2002 Miller Brewing Company merger into South African Breweries plc, which formed SABMiller plc, the world's second-largest brewer.

COPYRIGHT AND OWNERSHIP OF MATERIALS

The following is the required copyright and ownership of materials language in the CDHS/TCS grant:

A. The State shall be the owner of all rights, title and interest in, not limited to the copyright to, any and all Works created, provided, or developed in part or in total under this grant, whether or not published or produced. For purposes of this paragraph, “Works” are all literary Works, writings and printed matter, including the medium by which it is recorded or reproduced, and photographs, art work, pictorial and graphic representations, motion pictures, other audiovisual products, digital recordings, tape recordings, educational materials, original computer software programs, data, and any other materials or products conceived, developed, or delivered as a result of this grant. The copyright to any and all Works created, provided, or developed under this grant, whether published or not published or produced, belongs to the State from the moment of creation.

B. The State retains all rights to use, reproduce, distribute, or display any Works created, provided, or produced under this grant and any derivative works based on grant Works, as well as all other rights, privileges, and remedies granted or reserved to a copyright owner under statutory and common law copyright law.

C. Grantee shall grant to the State, as permitted in California Civil Code, Section 982, ownership in any original work of authorship created, provided, or produced under this grant that is not fixed in any tangible medium of expression.

D. If for any reason, the State is not deemed to be the owner of all rights, title and interest in the Works created, provided, developed, or produced under this grant, then Grantee, by entering into this grant, assigns all such rights to the State.

E. For any product, data or material which is created, provided, developed, or produced under this grant which is not deemed a Work, the Grantee shall grant the State a royalty-free, non-exclusive, and irrevocable license throughout the world to reproduce, to produce derivative Works, to distribute copies, to perform, to display or otherwise use, duplicate, or dispose of such product, data or material in any manner for governmental purposes, and to have or permit others to do so.

   Subject to the terms, conditions, and limitations contained in this grant and subject to the performance of all terms and conditions stated in this grant, the State grants to the Grantee a non-exclusive license to use, duplicate, distribute, and permit others to use Works created, produced or developed under this grant for the purpose of carrying out the terms and conditions of this grant, consistent with any limitations set forth in this grant.

For Works requiring the use of other copyright holders' materials, the Grantee shall furnish the names and addresses of all copyright holders or their agents, if any, and the terms of any licenses or usage granted, at the time of delivery of the Works. No materials of other copyright holders shall be used without prior written permission of the State and the holder of the copyright.

At any time the Grantee enters into an agreement with another party in order to perform the Work required under this grant, the Grantee shall require the agreement to include language granting the State a copyright interest in any Works created, provided, developed, or produced under the agreement and ownership of any Works not fixed in any tangible medium of expression. In addition, the Grantee shall require the other party to assign those rights to the State in a format prescribed by the State. For any Works for which the copyright is not granted to the State, the State shall retain a royalty-free, non-exclusive and irrevocable license throughout the world to reproduce, to prepare derivative Works, to distribute copies, to perform, to display, or otherwise use, duplicate or dispose of such Works in any manner for government purposes, and to have or permit others to do so.

I. The Grantee represents and warrants that:

1. The Grantee is free to enter into and fully perform this agreement;

2. The Grantee has secured or will secure all rights and licenses necessary for the creation, production, or development of the Works under this grant;

3. Neither the Works created, produced, or developed under this grant, the materials contained therein, nor the exercise by either the Grantee or the State of the rights described or granted in this grant, shall infringe upon or violate the rights or interests of any person or entity;

4. Neither the Works, nor any part of the Works, created, produced, or developed under this grant shall: a) violate the right of privacy of; b) constitute a liable or slander against; or c) infringe upon the copyright, literary, dramatic, statutory or common law rights, trademarks or service marks of any person, firm, or corporation; and

5. The Grantee has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to the State in this grant.

J. All Works distributed under the terms of this grant and any reproductions of visual Works or text of such Works shall include a notice of copyright in a place that can be visually perceived either directly or with the aid of a machine or device. This notice shall be placed prominently on Works and set apart from other matter on the page or medium where it appears.

The Grantee shall indemnify, defend, and hold harmless the State and its licensees and assignees, and their officers, directors, employees, agents, representatives, successors, licensees, and assignees from and against all claims, actions, damages, losses, costs, and expenses, including reasonable attorneys' fees, which any of them may sustain because of the use, reproduction, distribution, display, or transfer of the Works and any other materials furnished by Grantee under this grant, or because of the breach of any of the representations or warranties made in this grant award.

L. If the use of any Work is enjoined as a result of any action or proceeding, the Grantee shall, at its own expense and at the option of the State:

1. Procure for the State the right to continue to use said element, if the cost of said element does not exceed the reasonable cost anticipated under paragraph 16.L.2) or 16.L.3) below;

2. Replace said element with a comparable element which is non-infringing or does not violate the rights or interest of any person or entity; or

3. Modify said element so it becomes non-infringing or does not violate the rights or interest of any person or entity.

The State owns all materials developed, provided, and produced for the State under this grant. During the contracting phase of this process, the State shall negotiate with the Grantee to determine the number of camera-ready and completed versions of each deliverable the State will receive. It is anticipated that the State will use deliverables in future tobacco control programs.

BUDGET SAMPLE

APPENDIX F

Name of Grantee: ABC Community Agency
Grant Number: 04-xxxxx
Term: 7/1/04-6/30/07 Revision Date:

	Pay Period	No. of Pay Periods Per Year	Salary Range	Percentage of time or Hours per pay period	YEAR 1 7/1/04-6/30/05	YEAR 2 7/1/05-6/30/06	YEAR 3 7/1/06-6/30/07	Total Budget
A. PERSONNEL COSTS								
1. Project Director	S	24	$4,220 to $5,274	50	$0	$0	$0	$0
2. Project Coordinator	S	24	$3,840 to $4,000	100	$0	$0	$0	$0
3. Project Assistant	S	24	$3,130 to $3,805	50	$0	$0	$0	$0
4. Secretary	H	24	$2,525 to $3,072	25	$0	$0	$0	$0
TOTAL PERSONNEL COSTS:					**$0**	**$0**	**$0**	**$0**
B. FRINGE BENEFITS @ XX percent to XX percent of Total Personnel Costs					**$0**	**$0**	**$0**	**$0**
TOTAL PERSONNEL EXPENSES:					**$0**	**$0**	**$0**	**$0**
C. OPERATING EXPENSES					$0	$0	$0	$0
D. EQUIPMENT EXPENSES **Not applicable to this RFA. ENTER ZERO.**					$0	$0	$0	$0
E. TRAVEL/PER DIEM and TRAINING					$0	$0	$0	$0
F. SUBCONTRACTS AND CONSULTANTS					$0	$0	$0	$0
1. Mini-Grants					$0	$0	$0	$0
2 ABC Company					$0	$0	$0	$0
TOTAL SUBCONTRACTS AND CONSULTANTS:					**$0**	**$0**	**$0**	**$0**
G. OTHER COSTS					$0	$0	$0	$0
1. Educational Materials					$0	$0	$0	$0
2. Promotional Items					$0	$0	$0	$0
3. Incentives								
4. Media					$0	$0	$0	$0
5. Sponsorships **Not applicable to this RFA. ENTER ZERO.**					$0	$0	$0	$0
6. Stipends								
7. Use additional line items if necessary					$0	$0	$0	$0
TOTAL OTHER COSTS:					**$0**	**$0**	**$0**	**$0**
H. INDIRECT EXPENSES @ XX percent to XX percent of Total Personnel Expenses					**$0**	**$0**	**$0**	**$0**
TOTAL EXPENSES:					**$0**	**$0**	**$0**	**$0**

BUDGET JUSTIFICATION FORMAT SAMPLE

ABC COMMUNITY SERVICES, INC.
BUDGET JUSTIFICATION
JULY 1, 2004-JUNE 30, 2007

	AMOUNT REQUESTED			
	FY 04/05	**FY 05/06**	**FY 06/07**	*Total for* **Grant Term**
A. PERSONNEL SALARIES				
1. Project Director ($4,220-$5,274 paid semi-monthly) x (100%) x (24 pps/year)	$56,964	$59,808	$62,796	$179,568
Project Director for tobacco control program. Responsibilities include overall planning, supervision, development, training, report writing, fiscal & general coordination of the project. Monitors the project budget, maintains liaison with CDHS/TCS Health Education Consultant/Health Program Advisor and Contract Manager. Approves budget, invoices, staff changes, ensures timely progress on contract obligations, and other duties as required. Devotes 5% of his/her time to oversee the implementation of evaluation.				
2. Project Coordinator ($3,840-$4,801 paid semi-monthly) x (100%) x (24 pps/year)	$32,400	$34,020	$35,724	$102,144
Under supervision of the Project Director, responsible for coordinating the tobacco program's media activities, promotional events, trainings, newsletter, and other duties as required. Devotes 5% of his/her time to implement evaluation activities.				

COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS

A. State Classification Title	Comparable Title	Comparable Monthly Salary **
Health Education Consultant Supervisor III	Project Director	$4,746-$5,768
Health Education Consultant II	Senior Health Educator or Assistant Project Director	$4,194-$5,243
Health Education Consultant I	Health Educator or Health Education Assistant	$3,110-$4,346
Administrative Assistant I	Program Coordinator/Assistant	$3,418-$4,347
Office Services Supervisor II	Office Manager	$2,759-$3,355
Management Services Technician	Community Health Worker	$2,331-$3,201
Research Scientist II	Evaluation Consultant	$4,960-$5,984
Research Scientist I	Evaluation Consultant	$4,516-$5,448
Associate Governmental Program Analyst	Research Analyst II	$4,111-$4,997
Staff Services Analyst	Research Analyst I	$2,632-$4,155

Travel Reimbursement Information
Effective October 1, 2001

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract.

   a. Reimbursement shall be at the rates established for nonrepresented/excluded state employees.

   b. Short Term Travel is defined as a 24-hour period, and less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever a contract employee leaves his or her home or headquarters. "Headquarters" is defined as the place where the contracted personnel spends the largest portion of their working time and returns to upon the completion of special assignments.

   c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on page 2 of this exhibit to determine the reimbursement allowance. All lodging must be receipted. If Contractor does not present receipts, lodging will not be reimbursed.

      (1) Lodging (with receipts):

Travel Location / Area	**Reimbursement Rate**
Statewide Non-High Cost Area	$ 84.00 plus tax
Counties of Los Angeles and San Diego	$110.00 plus tax
Counties of Alameda, San Francisco, San Mateo, and Santa Clara	$140.00 plus tax

      Reimbursement for actual lodging expenses exceeding the above amounts may be allowed with the advance written approval of the Deputy Director of the Department of Health Service or his or her designee. Receipts are required.

      (2) Meal/Supplemental Expenses (with or without receipts): With receipts, the Contractor will be reimbursed actual amounts spent up to the maximum.

Meal / Expense	**Reimbursement Rate**
Breakfast	$ 6.00
Lunch	$ 10.00
Dinner	$ 18.00
Incidental	$ 6.00

   d. Out-of-state travel may only be reimbursed if such travel has been stipulated in the contract and has been approved in advance by the program with which the contract is held. For out-or-state travel, Contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, Contractors must have prior Departmental approval and a budgeted trip authority.

   e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on page 2 of this bulletin.

f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.

2. If any of the reimbursement rates stated herein are changed by the Department of Personnel Administration, no formal contract amendment will be required to incorporate the new rates. However, CDHS shall inform the Contractor, in writing, of the revised travel reimbursement rates.

3. For transportation expenses, the Contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.

4. **Note on use of autos:** If a Contractor uses his or her car for transportation, the rate of pay will be 34 cents maximum per mile. If the Contractor is a person with a disability who must operate a motor vehicle on official state business and who can operate only specially equipped or modified vehicles may claim up to 37 cents per mile. If a Contractor uses his or her car "in lieu of" air fair, the air coach fair will be the maximum paid by the State. The Contractor must provide a cost comparison upon request by the state. Gasoline and routine automobile repair expenses are not reimbursable.

5. The Contractor is required to furnish details surrounding each period of travel. Travel detail may include, but not be limited to: purpose of travel; departure and return times; destination points; miles driven; mode of transportation; etc.

6. Contractors are to consult with the program with which the contract is held to obtain specific invoicing procedures.

Travel Reimbursement Guide

Length of travel period	This condition exists…	Allowable Meal(s)
Less than 24 hours	Travel begins at 6 a.m. or earlier and continues until 9 a.m. or later.	Breakfast
Less than 24 hours	• Travel period ends at least one hour after the regularly scheduled workday ends, or • Travel period begins prior to or at 5 p.m. and continues beyond 7 p.m.	Dinner
24 hours	Travel period is a full 24-hour period determined by the time that the travel period begins and ends.	Breakfast, lunch, and dinner
Last fractional part of more than 24 hours	Travel period is more than 24 hours and traveler returns at or after 8 a.m.	Breakfast
	Travel period is more than 24 hours and traveler returns at or after 2 p.m.	Lunch
	Travel period is more than 24 hours and traveler returns at or after 7 p.m.	Dinner

CONTRACT UNIFORMITY

Pursuant to the provisions of Article 7 (commencing with Section 100525) of Chapter 3 of Part 1 of Division 101 of the Health and Safety Code, the California Department of Health Services sets forth the following policies, procedures, and guidelines regarding fringe benefits.

1. As used in this agreement with reference to State and/or federal funds, fringe benefits shall mean an employment benefit given by one's employer to an employee in addition to one's regular or normal wages or salary.

2. As used herein, fringe benefits do not include:

   Compensation for personal services paid currently or accrued by the Contractor for services of employees rendered during the term of this agreement, which is identified as regular or normal salaries and wages, annual leave, vacation, sick leave, holidays, jury duty, and/or military leave/training.

   a. Director's and executive committee member's fees

   b. Incentive awards and/or bonus incentive pay

   c. Allowance for off-site pay

   d. Location allowances

   e. Hardship pay

   f. Cost-of-living differentials

3. Specific allowable fringe benefits include:

   a. Fringe benefits in the form of employer contributions for the employer's portion of payroll taxes (i.e., FICA, SUI, SDI), employee health plans (i.e., health, dental, and vision), unemployment insurance, workers compensation insurance and the employers portion of pension/retirement plans provided they are granted in accordance with established written organization policies and meet all legal and IRS requirements.

4. To be an allowable fringe benefit, the cost must meet the following criteria:

   a. Be necessary and reasonable for the performance of the contract.

   b. Be determined in accordance with generally accepted accounting principles.

   c. Be consistent with policies that apply uniformly to all activities of the Contractor.

5. It is agreed by both parties that any and all <u>fringe benefits</u> shall be at <u>actual cost.</u>

6. Earned/accrued Compensation.

   a. Compensation for vacation, sick leave, and holidays is limited to that amount earned/accrued within the contract term. Unused vacation, sick leave, and holidays earned from periods prior to the contract period cannot be claimed as allowable costs (See example on page 2).

   b. For multiple year contracts, vacation and sick leave compensation, which is earned/accrued but not paid, due to employee(s) not taking time off may be carried over and claimed within the overall term of the multiple years of the contract. Holidays cannot be carried over from one contract year to the next. (See example on page 2).

   c. For single year contracts, vacation, sick leave, and holiday compensation which is earned/accrued but not paid, due to employee(s) not taking time off within the contract term, <u>cannot</u> be claimed as an allowable cost (See example on page 2).

Contract Uniformity
Earned/Accrued Compensation Examples

Example No. 1:

If an employee, John Doe, earns/accrues three weeks of vacation and twelve days of sick leave each year, then that is the maximum amount that may be claimed during a contract period of one year. If John Doe has five weeks of vacation and eighteen days of sick leave at the beginning of the State contract term, the Contractor during a one-year contract term may only claim up to three weeks of vacation and twelve days of sick leave actually used by the employee. Amounts earned/accrued in periods prior to the beginning of the contract are not an allowable cost.

Example No. 2:

If during a three-year (multiple year) contract John Doe does not use his three weeks of vacation in year one, or his three weeks in year two, but he does actually use nine weeks in year three; the Contractor would be allowed to claim all nine weeks paid for in year three. The total compensation over the three-year period cannot exceed 156 weeks (3 x 52 weeks).

Example No. 3:

If during a single year contract, John Doe, works fifty weeks and uses one week of vacation and one week of sick leave and all fifty-two of these weeks have been billed to the State, the remaining unused two weeks of vacation and seven days of sick leave may not be claimed as an allowable cost.